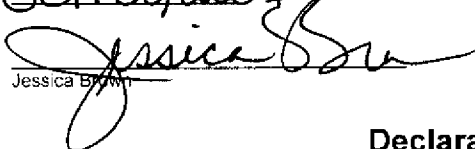


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of	:	Customer Number: 33401
UY, ANTHONY, et al.	:	Confirmation Number: 7833
Application No.: 10/790,513	:	Group Art Unit: 1072
Filed: March 1, 2004	:	Examiner: LOVEL, Kimberly M.
For: POST ENTRY AUDITING OF CUSTOMS ENTRY DATA (as amended)	:	

CERTIFICATE OF ELECTRONIC TRANSMISSION

I hereby certify that this correspondence is being electronically transmitted to the United States Patent and Trademark Office On

Oct. 30, 2007

Jessica Brown

Declaration Under 37 C.F.R. § 1.131

I, Anthony Uy, declare:

1. I am one of the co-inventors of the invention that is claimed in this patent application.
2. By at least February 17, 2002, I and my other co-inventors (Tom Potts, Frederic Holmes, Laurie Peach, Matt Halterman, Mark Swirt, and Junko Sweet) conceived of each of the features in the claims of this invention as recited in the Amendment that is being filed concurrently with this declaration ("Subject Patent Claims"), a copy of which is attached as Exhibit 1. Also between at least February 17, 2002, and the end of July of 2002, we and others on our team worked diligently to reduce the invention ("Subject Invention") that is set forth in the Subject Patent Claims to practice.
3. The following summarizes what happened and identifies and authenticates numerous corroborating documents, copies of which are attached.
4. Our company (Honda) decided that it wanted to improve the speed and accuracy at which it identified errors in information that its brokers submit to U.S. Customs.
5. My co-inventors and I had several discussions about how to accomplish this. We ultimately came up with the Subject Invention, as well as several related inventions. This included the idea of using a database and related software to automatically and systematically audit entry packets that are submitted to U.S. Customs by our customs brokers. The idea was that an importer would receive an entry packet from a customs

broker that contained information relating to a shipment for importation. The importer would enter the entry packet into a first repository in the database; consult a second repository in the database that contained records relevant to a plurality of imported goods; compare the entry packet in the first repository with the records in the second repository; identify discrepancies between the entry packet and the records; and generate a report identifying the discrepancies. All of these steps would be performed through a software user interface. More specifically, the invention that we conceived of prior to February 21, 2002, included each of the following features:

- A method for Post Entry Auditing that used a software user interface and a database coupled to the software user interface with one or more layers of executable code.
- An importer would receive an entry packet submitted to U.S. Customs from a customs broker. The entry packet would contain information relating to a shipment for importation.
- The importer would enter the entry packet into a first repository in the database.
- The importer would consult a second repository in the database. The second repository would contain records relevant to a plurality of imported goods.
- The importer would compare the entry packet in the first repository with the records in the second repository.
- The importer would identify one or more discrepancies between the entry packet and the records.
- The importer would generate a report identifying the one or more discrepancies between the entry packet and the records.
- The report would be used to identify and correct errors relating to importation.
- The software user interface would include links from the first repository to the second repository.
- The entry packet would be received by the importer from the customs broker in an electronic format.
- The entry packet would include a 7501 Customs form, a commercial invoice for the imported goods, and a shipping manifest.
- HTS classifications assigned by the customs broker would be compared to HTS classifications stored in a product dictionary in the second repository

- Attribute classifications assigned by the customs broker would be compared to attribute classifications located in the second repository.
- The report would include data containing a list of errors based on the identified discrepancies.
- A second user in a supervisory position over the importer would identify the one or more discrepancies.
- A system would be configured to perform each of the method steps set forth above and would include a database containing internal records relevant to HTS classifications, a computer terminal, a user interface accessible from the computer terminal, and a software program suite coupled to the database and to the user interface.
- A software program suite would be configured to receive electronic entry packets, enable a user at the computer terminal to compare one of the entry packets to the internal records, and enable the user to generate a report comprising discrepancies between the one of the entry packets and the internal records.
- The system would include a second computer terminal through which the user interface would be accessible.
- The second terminal would be configured to enable a second user to compare some of the entry packets to the internal records.
- The software interface would include software navigational links.
- At least one repository would include a database of HTS classifications.
- The comparing would be performed by a user working for the importer.
- The software user interface would be accessible from a plurality of user terminals.
- An analyst working for the importer would enter the entry packet.
- The internal records would be organized in an internal-to-commodity map.
- There would be a plurality of remote terminals through which the software user interface is accessible by one or more users.

6. Numerous documents were created that corroborate our conception of the Subject Invention (as well as the related inventions) by at least February 17, 2002.

7. One example is the document entitled "Trade Compliance System Business Requirements Document," a final version of which was printed on February 17, 2002, a

copy of which is attached as Exhibit 2. Particularly relevant to the Subject Invention is page 11 (Note 5); page 12 ("Perform Audit/Validations [AH Customs]"; page 21, note 6; page 25, note 5; page 32 (second to last bullet point); page 33 (third to last bullet point); page 34 (last bullet point); and page 36 (third-to-last bullet point).

8. As mentioned above, the Subject Invention was one of several new features in a complex system that we were designing. During the remainder of February and March, a team of about 20 individuals, including myself, worked to refine the design of the Subject Invention as well as the other aspects of this new complex system.

9. The team then developed a series of detailed design specifications, each directed to a specific module of the system. Attached as Exhibits 3, 4, 5, and 6 are examples of these design specifications for various modules in the system. Their dates illustrate the continuous nature of the efforts that were made. They are entitled, respectively, "Trade Compliance System Shell Architecture Main Menu Specification 4/23/02" (Ex. 3), "Trade Compliance System Classification Item Master On-Line Specification 5/31/02" (Ex. 4), "TCS System . . . Reconciliation Exception . . . Detail Design Document 6/4/02" (Ex. 5), and "Trade Compliance System Vendor Master Design Specification 7/9/02" (Ex. 6).

10. Specifications for the Subject Invention were also written. The first specification covered "batch" internal audits which performed the audits at scheduled job runs. The original version of this specification was completed on June 7, 2002. Attached as Exhibit 7 is a revised version of this specification entitled "Trade Compliance System (TCS) Internal Entry Audits Batch Program Specification. Although dated July 1, 2003, the revised specification confirms on the last page that the final version of the original specification was completed on June 7, 2002. (The revisions that were made since were not material to the Subject Invention.)

11. By the end of July of 2002, we had built and tested a production version of the Subject Invention (which included other related inventions) and demonstrated that the Subject Invention worked for its intended purpose, that is, that it comprehensively, accurately, and automatically audited the entry packets that our customs brokers submitted to U.S. Customs and produced reports of discrepancies.

12. More specifically, our design team wrote software that implemented each of the features that are set forth in the Subject Patent Claims. As the design specification was completed for each particular module of the system, code was written and tested to implement that module. Collectively, the software implemented the features set forth in the various design documents that are attached as Exhibits 3-7. The software generated user interfaces, created and maintained databases that held the various data set forth in the Subject Patent Claims, managed the databases, and performed the various operations set forth in the Subject Patent Claims.

13. The software was run on a network of computers. The network included an NT computer that functioned as an application server to provide a front-end user interface that used active server pages written in Visual Basic; workstations that

accessed the application server over a network; a mainframe containing a backend database that stored and managed tables and other data under database application programs written in DBII and Cobol; and a Unix file server that stored and managed images of Customs documentation.

14. Our design team also wrote a set of test scripts. These test scripts were designed to test the Trade Compliance System to validate that it functioned as we had intended and that it would meet user expectations. Attached as Exhibit 8 is a copy of tables that describe these test scripts and the tests results that were obtained when they were run.

15. The tests revealed some minor bugs. Examples included one screen that inaccurately reported that a record was updated when, in fact, it was inserted; a failure of the system to save certain data; and a dialog box that only allowed numerical characters to be entered, when alphanumeric characters also needed to be entered.

16. By the end of July of 2002, these bugs had been fixed. The successful correction of these bugs is partially indicated by the status marking "Green" next to just about every entry in the test scripts tables, Exhibit 8. The TCS Tracking Report is also marked "FY03 – CLOSED Status," again indicating that the bugs had been fixed.

17. Our design team created and maintained a TCS Tracking Report that documented and tracked these bugs and the status of their corrections. A partial copy of this report is attached as Exhibit 9.

18. After the bugs were fixed, the tests were repeated. They revealed that the Trade Compliance System was successfully performing all of the functions that are recited in the Subject Patent Claims in their intended manner. More specifically, by the end of July of 2002, operators using the Trade Compliance System successfully audited entry packets on an automated basis against business records and produced reports of discrepancies. More specifically:

- The system implemented a method for Harmonized Tariff Schedule ("HTS") auditing that used a software user interface and a database coupled to the software user interface with one or more layers of executable code.
- The system was able to receive an entry packet submitted to U.S. Customs from a customs broker. The entry packet was able to contain information relating to a shipment for importation.
- The system allowed entry of the entry packet into a first repository in the database.
- The system consulted a second repository in the database. The second repository contained records relevant to a plurality of imported goods.

- The system compared the entry packet in the first repository with the records in the second repository.
- The system identified one or more discrepancies between the entry packet and the records.
- The system generated a report identifying the one or more discrepancies between the entry packet and the records.
- The report was used to identify and correct errors relating to importation.
- The software user interface included links from the first repository to the second repository.
- The entry packet was received in an electronic format.
- The entry packet included a 7501 Customs form, a commercial invoice for the imported goods, and a shipping manifest.
- HTS classifications assigned by the customs broker were compared to HTS classifications stored in a product dictionary in the second repository
- Attribute classifications assigned by the customs broker were compared to attribute classifications located in the second repository.
- The report included data containing a list of errors based on the identified discrepancies.
- The system allowed a second user in a supervisory position over the importer to identify the one or more discrepancies.
- The system was configured to perform each of the method steps set forth above. It included a database containing internal records relevant to HTS classifications, a computer terminal, a user interface accessible from the computer terminal, and a software program suite coupled to the database and to the user interface.
- The software program suite received electronic entry packets, enabled a user at the computer terminal to compare one of the entry packets to the internal records, and enabled the user to generate a report comprising discrepancies between the one of the entry packets and the internal records.
- The system included a second computer terminal through which the user interface was accessible.
- The second terminal was configured to enable a second user to compare some of the entry packets to the internal records.

- The software interface included software navigational links.
- At least one repository included a decision tree database of HTS classifications.
- The system allowed the comparing to be performed by a user working for the importer.
- The software user interface was accessible from a plurality of user terminals.
- The system allowed an analyst working for the importer to enter the entry packet.
- The internal records were organized in an internal-to-commodity map.
- There was a plurality of remote terminals through which the software user interface was accessible by one or more users.

19. On July 30, 2002, we released a document entitled "Customs Project Development" to the users of this new system, a copy of which is attached as Exhibit 10. This document announced many of its new features, including the "Internal Entry Audits" feature of the subject invention.

20. On August 1, 2002, we opened the new system up to testing by a user group, as evidenced by the document that we distributed to them entitled "TCS User Acceptance Testing Kick Off Session – August 1, 2002," a copy of which is attached as Exhibit 11.

21. Attached as Exhibit 12 is a screen shot of the main menu of this working system that was taken on August 1, 2002, as reflected by the appearance of this date in the screen shot. This main menu included links to the various modules that were used to implement the Subject Invention in the section on the screen labeled "Internal Entry Audits."

22. A user group was asked to again test the Trade Compliance System in August of 2002. The users again used the system to comprehensively, accurately, and automatically audit the entry packets that our customs brokers submitted to U.S. Customs, produced reports of discrepancies, and otherwise used the Trade Compliance System to successfully perform the functions recited in the Subject Patent Claims.

23. Users tested the Trade Compliance System throughout the month of August 2002 and again confirmed throughout this month that the Subject Invention worked for its intended purpose.

24. Attached as Exhibit 13 is "Report No FTCS65-B Trade Compliance System - Internal Entry Audit - Audit Exception by Customs Broker and Entry for 5/29/2002 to 8/27/2002." This report, dated August 27, 2002, shows audit exceptions

produced during testing, i.e., that the Subject Invention was working for its intended purpose as of this date.

25. Changes were made to the Trade Compliance System after these successful tests. However, none of these changes were made because the Trade Compliance System failed to successfully implement the functions of the Subject Patent Claims.

26. The large team that worked to reduce the Subject Invention (as well as the other related inventions that were part of the same system) to practice between February 21, 2002, and the end of July of 2002 and again during August of 2002, was required to provide time reports on the efforts that they made on this project. These reports show that the team devoted over 14,000 hours to this project during this few month period, broken down as follows:

Month	Hours Spent
February 2002	887
March 2002	3,026
April 2002	3,108
May 2002	2,123
June 2002	1,979
July 2002	1,265
August 2002	1,768

27. On August 31, 2002, we formally released the Trade Compliance System for general use by the company and held a large party for the entire team that had worked so hard on this project. I remember this date clearly because it was exactly one day before the September 1, 2002, the deadline for this release that our company had imposed.

28. Following the production release of the Trade Compliance System with a tested embodiment of the Subject Invention, we made several enhancements to the system. These enhancements were tracked by a Version History table that was maintained in the Trade Compliance System, a copy of which is attached as Exhibit 14. It consistently shows that the first version of the Trade Compliance System that contained the post entry audit function of this invention, i.e., the function provided by the Subject Invention, and that this first version had been completed on August 30, 2002, exactly one day before its formal release.

29. Attached as Exhibit 15 is an Entry History Audit Error – Aging Report. This report shows a summary of all Audits Errors by month from September 2002 to July 2003. These are actual production data errors, and shows that each month since August 31, 2002, TCS produced and captured post entry audit errors. This again demonstrates that the system was in place and was functioning.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true. These statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

10/24/02
Date

Anthony Uy
Anthony Uy

Exhibit 1

AMENDMENTS TO THE CLAIMS

1. (previously presented) A method for Harmonized Tariff Schedule (“HTS”) auditing using a software user interface and a database coupled to the software user interface using one or more layers of executable code comprising:
 - receiving by an importer from a customs broker an entry packet submitted to U.S. Customs, the entry packet containing information relating to a shipment for importation;
 - entering, by the importer, the entry packet into a first repository in the database;
 - consulting, by the importer, a second repository in the database, the second repository containing records relevant to a plurality of imported goods;
 - comparing, by the importer, the entry packet in the first repository with the records in the second repository;
 - identifying, by the importer, one or more discrepancies between the entry packet and the records; and
 - generating, by the importer, a report identifying the one or more discrepancies between the entry packet and the records.
2. (original) The HTS audit method of claim 1 wherein the report is used to identify and correct errors relating to importation.
3. (original) The HTS audit method of claim 1 wherein the software user interface comprises links from the first repository to the second repository.
4. (original) The HTS audit method of claim 1 wherein the entry packet is received by the importer from the customs broker in an electronic format.
5. (original) The HTS audit method of claim 1 wherein the entry packet comprises a 7501 Customs form.
6. (original) The HTS audit method of claim 1 wherein the entry packet comprises a commercial invoice for the imported goods.

7. (original) The HTS audit method of claim 1 wherein the entry packet comprises a shipping manifest.

8. (original) The HTS audit method of claim 1 wherein the comparing the entry packet with the records comprises comparing HTS classifications assigned by the customs broker to HTS classifications stored in a product dictionary in the second repository.

9. (original) The HTS audit method of claim 1 wherein the comparing the entry packet with the records comprises comparing attribute classifications assigned by the customs broker to attribute classifications located in the second repository.

10. (canceled)

11. (original) The HTS audit method of claim 1 wherein the report comprises data containing a list of errors based on the identified discrepancies.

12. (original) The HTS audit method of claim 1 wherein the entry packet comprises a Customs 7501 form, a commercial invoice, and a shipping manifest.

13. (original) The HTS audit method of claim 1 wherein the identifying the one or more discrepancies is performed by a second user in a supervisory position over the importer.

14. (previously presented) Computer readable media embodying a program of instructions executable by a computer program to perform a method of auditing Harmonized Tariff Schedule ("HTS") entry data for U.S. Customs data comprising:

entering an entry packet submitted by a customs broker to U.S. Customs into a database, the entry packet directed to a shipment for importation;

storing internal records relevant to the shipment;

providing a software user interface for comparing, at a computer terminal, the entry packet with the internal records for discrepancies; and

generating a report identifying one or more discrepancies between the entry packet and the internal records.

15. (original) The computer readable media of claim 14 wherein the report is used to identify and correct errors relating to importation.

16. (previously presented) A system for auditing HTS classifications, comprising:
a database comprising internal records relevant to Harmonized Tariff Schedule (“HTS”) classifications;

a computer terminal;

a user interface accessible from the computer terminal; and

a software program suite coupled to the database and to the user interface, the software program suite configured to:

receive electronic entry packets;

enable a user at the computer terminal to compare one of the entry packets to the internal records; and

enable the user to generate a report comprising discrepancies between the one of the entry packets and the internal records.

17. (canceled)

18. (original) The system of claim 16 wherein the report is used to identify and correct errors relating to importation.

19. (original) The system of claim 16 wherein the report comprises data containing a list of errors based on the identified discrepancies.

20. (original) The system of claim 16 further comprising a second computer terminal through which the user interface is accessible.

21. (original) The system of claim 20 wherein the second terminal is configured to enable a second user to compare some of the entry packets to the internal records.

22. (original) The system of claim 16 wherein the entry packets comprise a Customs 7501 form, a commercial invoice, and a shipping manifest.

23. (original) The system of claim 16 wherein the software interface comprises software navigational links.
24. (previously presented) An Harmonized Tariff Schedule (“HTS”) classification method for auditing entry packets for U.S. Customs comprising:
inserting, using a software user interface, an entry packet into a database;
comparing data in the entry packet to internal records located in the database;
identifying one or more errors between the data and the internal records; and
generating a report comprising the errors.
25. (original) The method of claim 24 wherein the entry packet comprises a 7501 U.S. Customs form.
26. (original) The method of claim 24 wherein the database further comprises a plurality of repositories, including a repository for storing the entry packet and at least one repository for storing the internal records.
27. (original) The method of claim 26 wherein one of the at least one repository comprises a decision tree database of HTS classifications.
28. (original) The method of claim 24 wherein the comparing is performed by a user working for the importer.
29. (original) The method of claim 24 wherein the report is used to identify and correct discrepancies relating to importation.
30. (original) The method of claim 24 wherein the software user interface is accessible from a plurality of user terminals.
31. (original) The method of claim 24 wherein the entry packet is obtained from a customs broker.

32. (original) The method of claim 24 wherein the inserting the entry packet is performed by an analyst working for the importer.

33. (original) The method of claim 24 wherein the internal records are organized in an internal-to-commodity map.

34. (previously presented) An apparatus for auditing of Harmonized Tariff Schedule (“HTS”) classification for U.S. Customs importation, comprising:

- (i) a database comprising a plurality of repositories;
- (ii) software user interface means for accessing the database comprising
 - (a) input means for entering entry packets;
 - (b) comparison means for comparing entry packets with internal records in some of the plurality of repositories;
 - (c) report-generating means for creating reports identifying inconsistencies between the entry packets and the internal records; and
- (iii) a plurality of remote terminals through which the software user interface is accessible by one or more users.

35. (original) The apparatus of claim 34 wherein reports from the report-generating means are used to correct errors in importation.

36. (canceled)

37. (new) The method of claim 10 wherein the decision tree includes a plurality of product classifications at a top level and a plurality of HTS codes at a bottom level.

Exhibit 2

HONDA

TRADE COMPLIANCE SYSTEM

Business Requirements Document

FINAL

2/17/02 11:47AM

Table of Contents

Document History and Revisions	4
Team Roles/Responsibilities	5
Introduction	6
History	6
Four Areas of Focus For Customs	7
Business Requirements - Quantity	8
Business Function Flow - Quantity(Current)	9
Business Function Flow - Quantity(Future)	10
Business Requirements - Record Keeping	11
Business Function Flow - Record Keeping(Current/Future)	12
Business Requirements - Classification	13
Business Function Flow - Classification(Current)	15
Business Function Flow - Classification(Future)	16
Business Requirements - Product Attributes	17
Business Function Flow - Product Attributes(Current)	18
Business Function Flow - Product Attributes(Future)	19
Business Requirements - Transaction Value/Reported	20
Business Function Flow - Transaction Value/Reported(Current)	21
Business Function Flow - Transaction Value/Reported(Future)	22

Table of Contents

Business Function Flow - Transaction Value/Reported(Future) _____	22
Business Function Flow - Transaction Value/Reported(Drop Shipment(Current/Future) _____	23
Business Requirements - Transaction Value/Unreported _____	24
Business Function Flow - Transaction Value/Unreported/ Service Parts Royalty(Current) _____	25
Business Function Flow - Transaction Value/Unreported/Service Parts Royalty(Future) _____	26
Business Function Flow - Transaction Value/Unreported/HAC(Current/Future) _____	27
Business Function Flow - Transaction Value/Unreported/HPD/R&D Fees(Current/Future) _____	28
Business Function Flow - Transaction Value/Unreported/Tooling Assists(Current/Future) _____	29
Business Assessments _____	30
Analysis _____	30
Quantity _____	31
Classification _____	32
Record Keeping _____	33
Product Attributes _____	34
Transaction Value/Reported _____	35
Transaction Value/Unreported _____	36

Document History & Revisions

File Location	G:/AHMFIN/TCS/Business Requirements/BusinessRequirements.doc		
Version	Date	Author(s)	Revision Notes
1.0 Draft	11/08/01	TCS Project Team	Original start date.
2.0 Draft	11/19/01	TCS Project Team	Requirements document updated to include Classification (requirements, flows, and assessment).
3.0 Draft	12/10/01, 1/8/02, 1/16/02	TCS Project Team	Updated to reflect changes per AH Customs. Also changed AHM to AH throughout document.
3.0 Final	2/15/02	TCS Project Team	Made final changes to Drop Shipment business flow. Received final approval from AH Customs.
3.0 Final	2/18/02	TCS Project Team	Deliverable Date

Team Roles/Responsibilities

<u>Compliance Category</u>	<u>Teams</u>	<u>Team Lead</u>
1. Classification	Tom/Jerry	Tom Potts
2. Product Attributes	Tom/Jerry	Tom Potts
3. Quantity	Ray/Jerry	Jerry Laws
4. Transaction Value/Reported (Invoice, Receipt, Payment)	Ray/Jerry	Jerry Laws
5. Transaction Value/Unreported	Charlene	Charlene Strong
6. Record Keeping	Linda	Linda Head

**In all categories, all teams, AH Customs is represented by Denise Thorn and Mark Swirt.*

Introduction

The purpose of this document is to define the business requirements that are necessary in order for **American Honda Motor Company Inc. (AH)**, to meet compliance standards as required by U.S. Customs.

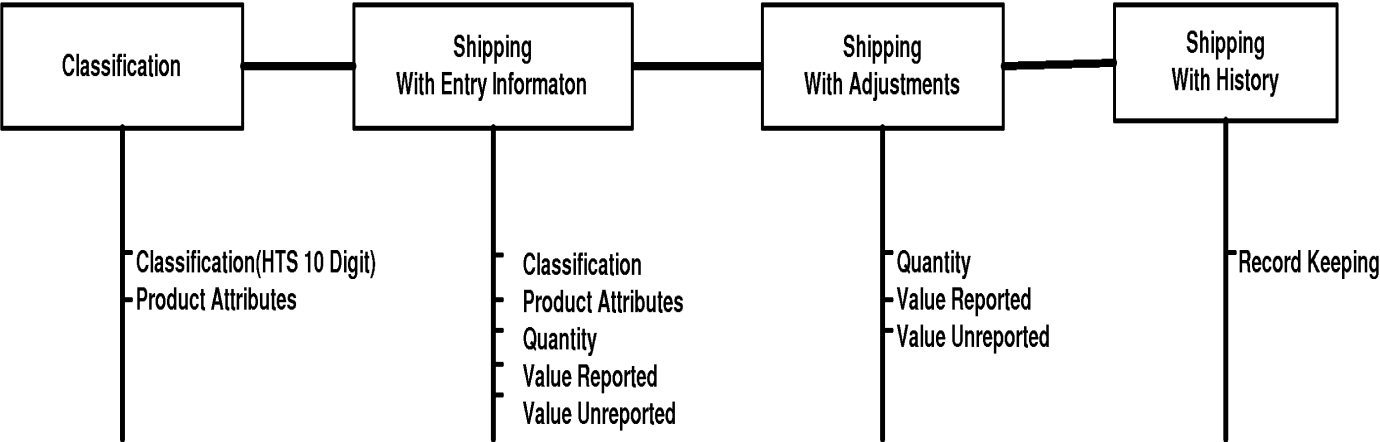
History

In August 1998 U.S. Customs concluded the compliance assessment performed on American Honda. At that time, it was determined there are six compliance categories AH must improve in order for AH to become fully compliant.

The compliance categories warranting improvement are:

- 1) **Classification**
- 2) **Product Attributes(MID/COO, ADD/CVD, SPI (NAFTA/GSP), OGA, Reporting Quantity/Identifiers)**
- 3) **Quantity**
- 4) **Transaction Value/Reported**
- 5) **Transaction Value/Unreported**
- 6) **Record Keeping**

Four Areas of Focus For Customs

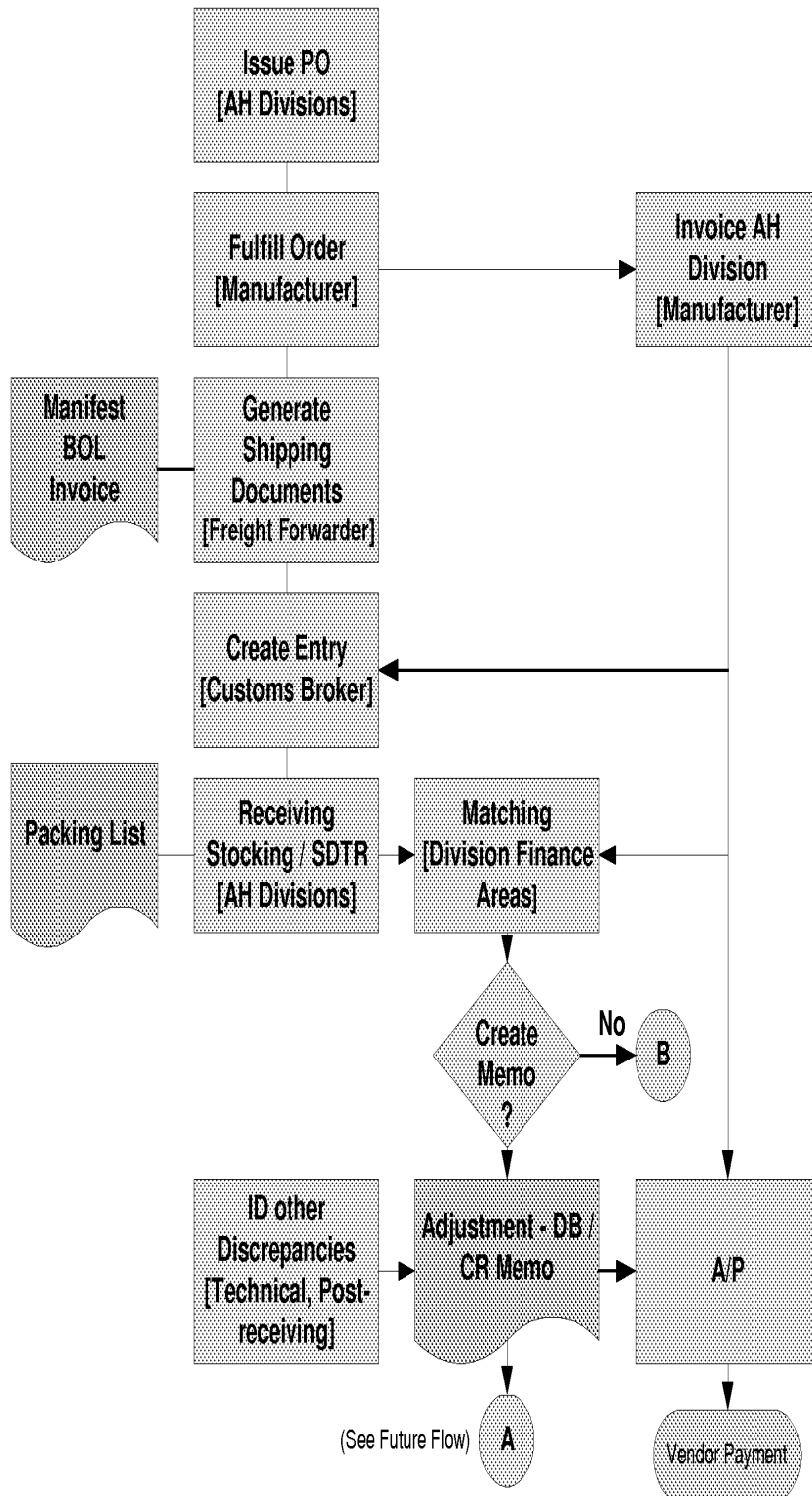


Business Requirements - Quantity

In the compliance category of **Quantity**, the business requirements for American Honda are:

1. American Honda must accurately report and declare Reporting Quantity and Identifiers (units of measure) on imported products to U.S. Customs.
 - Reconcile import product quantity discrepancies between quantities invoiced, entered and received
2. Corrections must be accomplished via U.S. Customs approved methods:
 - 10th Day Retransmission of entry summary within 10 days of release
 - PEA(post entry amendment program)
 - SIL(supplemental information letter)
 - Voluntary Disclosure/Tender, etc.
3. American Honda must maintain accurate records to reflect quantity adjustments submitted to U.S. Customs.
4. American Honda must have documented internal controls, policies and procedures in place.
5. American Honda must perform internal audits at will, and have internal checks in place.

BUSINESS FUNCTION FLOW - QUANTITY (Current)

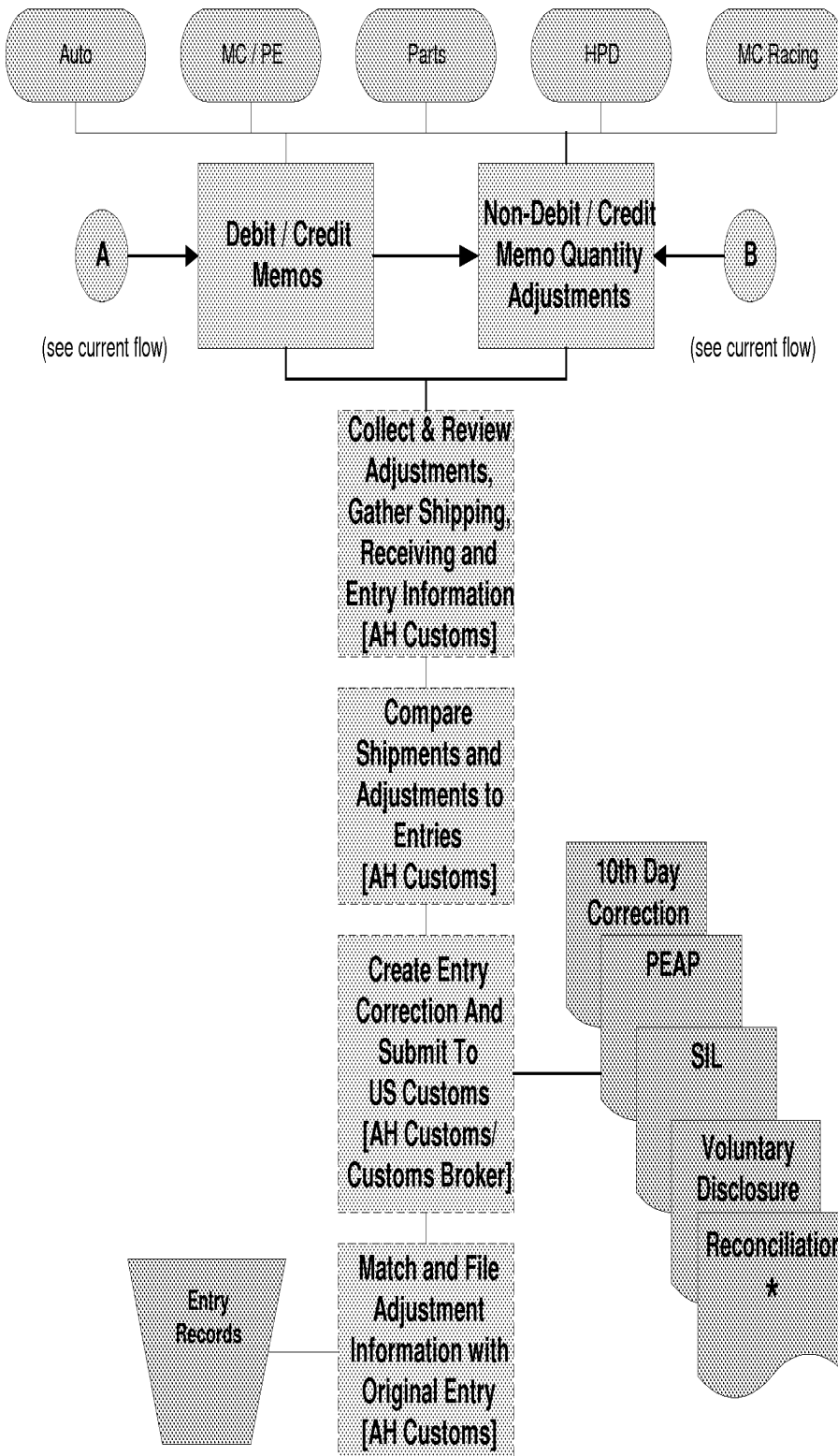


Function Description

- Each Division creates Purchase Orders that are sent to Manufacturers.
- Order is fulfilled by Manufacturer.
- Order is shipped by Manufacturer/Freight Forwarder - Hardcopy Invoice, BOL is sent upon shipment and will be used by the Broker.
- AH Division uses hard copy invoice and electronic data to pay manufacturer, (except Canada Auto where separate billing data is received.)
- Broker creates entry with shipping / Invoice information plus electronic information for Parts and Auto.
- Receiving is performed by AH Division.
- Matching process is run to match receipt against invoice, by Division.
- Reconciliation Debit / Credit memos are initiated by AH Division, Receiving, Warehouse, and Purchasing departments. AP associates memo with vendor payment.
- Discrepancies are identified by the Canada Auto Import Recon System(CAIRS).
- Japan payments are not normally adjusted unless significant discrepancies exists.

BUSINESS FUNCTION FLOW - QUANTITY (Future/Expansion Flow)

Trade Compliance System



Function Description

- Each division creates debit and credit memos in order to adjust the quantity of goods received, at invoice line level.
- AH Customs will review the quantity adjustments to determine if the previously filed entry needs to be adjusted at an invoice line item level.
- AH Customs will compare the adjusted quantity amount with the amount declared on the entry at the invoice line level. If there are any discrepancies, a disclosure may need to be submitted to U.S. Customs.
- AH Customs will apply all adjustments to the appropriate entry at the invoice line level.
- AH Customs will create correcting entries for all adjustments that are material, at the invoice line level. The appropriate correction process will need to be used.
- AH Customs will file all adjustment documentation with the related entry documentation. This will facilitate processing of future adjustments for the same entry and responding to audit inquiries.
- * Must have been flagged at time of entry.

Business Requirements - Record Keeping

In the compliance category of **Record Keeping**, AH maintains Record Keeping policies/procedures and can produce accurate records.

The business requirements for American Honda are:

1. American Honda must continue to maintain good Record Keeping policies and procedures in order to produce accurate records for import activities such as :
 - Any importation, declaration or entry
 - The transportation or storage of merchandise carried or held under bond into or from the customs territory of the U.S.
 - The filing of a drawback claim
 - Any exportation to a NAFTA country
 - The collection or payment of fees and taxes to U.S. Customs or
 - Any other activity required to be undertaken pursuant to the laws of U.S. Customs
2. American Honda must store records* and maintain documented internal controls pursuant to AH Customs Record Keeping Policy effective August 1, 2000.
3. Upon demand from U.S. Customs, American Honda must produce the following records (but not limited to), within the timeframe specified according to U.S. Customs' retrieval guidelines:
 - Statements, declarations
 - Electronically generated or machine readable data
 - Financial accounting and technical data
 - Records as defined in the* "(a)(1)(A) List" such as (but not limited to), air waybill, bill of lading, packing list, bond information, CF3461, CF7501, NAFTA Certificate of Origin).
4. American Honda is required to maintain documents, forms and records as required by U.S. Customs and Other Government Agencies (OGA), such as: FDA, EPA, DOT and FCC.
5. American Honda must perform internal audits at will and have internal checks in place.

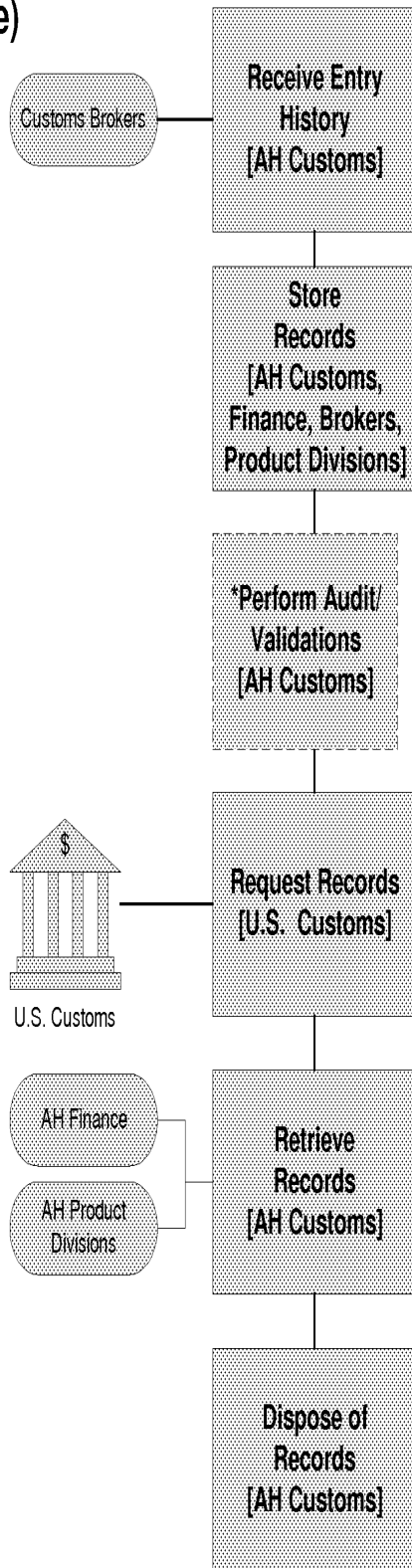
***Notes:**

The term "records" means any information made or kept in the ordinary course of business that pertain directly or indirectly to the activities defined above. The term also includes any information required for the entry of merchandise commonly referred to as the "(a)(1)(A) list". The complete "(a)(1)(A) list" is available upon request from AH Customs or ISD.

Assumption:

Electronic entries must be stored in order to meet Record Keeping requirements in the other compliance categories (Quantity, Transaction Value, etc.). This means a solution is necessary in order for AH to store electronic entry data.

BUSINESS FUNCTION FLOW - Record Keeping (Current/Future)



Function Description

- AH Customs receives entry history packets and electronic data from Customs Brokers. The packets are audited for completeness.
- AH Customs has overall responsibility of ensuring all applicable business units maintain accurate records. AH Customs periodically issues instructions on record retention to pertinent business groups. AH Customs, Product Divisions, and Brokers store active/inactive "(a" (1) (A)" records on/off site, according to AH Customs internal policies.
- AH Customs performs periodic Record Keeping audits at will.
- U.S. Customs requests records as needed.
- AH Customs retrieves records upon demand from U.S. Customs. Records are produced within the timeframes specified pursuant to U.S. Customs' document retrieval guidelines.
- AH Customs dispose of records according to AH Corporate Records Retention Policy. Once records reach the specified retention period, these records are subject to disposal.
- * = new

Business Requirements – Classification

The following list of classification business requirements applies to all divisions.

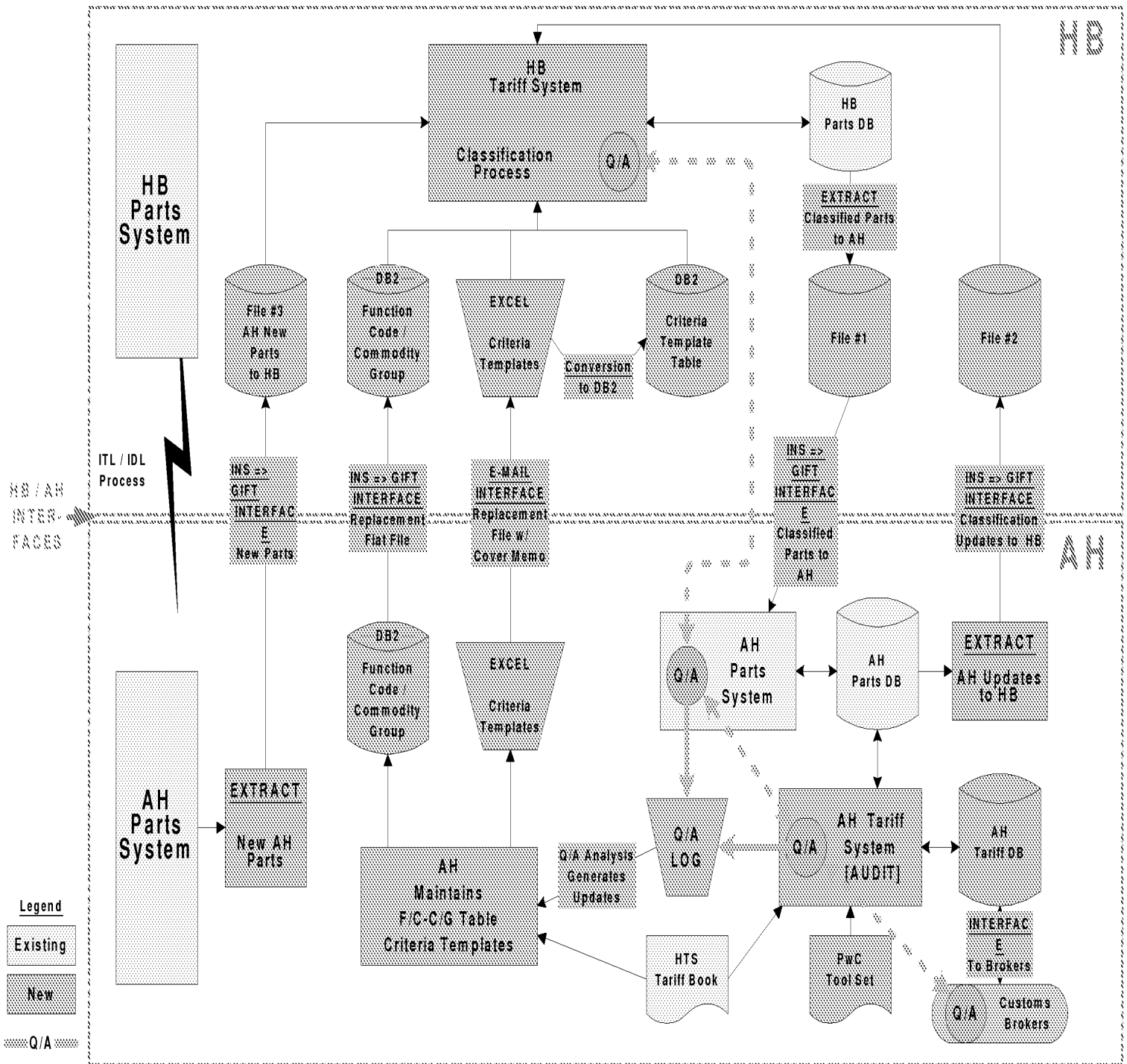
1. American Honda must assign Harmonized Tariff Schedule (HTS) codes in the required format for all import and export service replacement parts, and must keep HTS code assignments compliant with any change.
 - HTS code assignments are based on:
 - U.S. Customs Harmonized Tariff Schedule
 - Customs Rulings
 - Customs Request for Information (CF-28)
 - Customs Notice of Action (CF-29)
 - Telephone notification from Customs
 - Customs corrections to entries
 - 99% accuracy is required to be considered “low risk” by Customs
 - A sufficient number of trained, professional staff must be available to support all classification requirements
2. American Honda must assign HTS codes for all products before point of entry.
 - A Customs entry cannot be filed without an accurate classification
 - New parts should be classified before shipment
 - All required trade compliance-based part technical information must be available at time of classification
 - Required trade compliance-based part technical information must be defined and stored when a new part number is established
 - AH must be able to classify, at the time of import or export, all unclassified parts
 - Changes to classification and other related information are made only once and update all other systems (HB System, Parts System, Custom Broker’s System, etc.)
3. American Honda is responsible for maintaining an audit trail of HTS assignments and changes per Customs requirements (minimum 5-year retention).
 - Must be able to record who, why, and when changes were made

Business Requirements – Classification (cont.)

4. American Honda is responsible for providing legal rationale for all HTS assignments at time of classification.
5. American Honda must provide proof of consistency in assigning HTS codes for like components.
6. A Customs expert should be consulted in HTS assignment. A Customs expert is defined by U.S. Customs as a lawyer, Customs broker, public accountant, Customs consultant, etc.
7. An expanded parts description for Customs is required as input to the classification process and must appear on all auditable Customs documents, including the commercial invoice and packing list.
8. American Honda must be able to audit and modify the expanded parts description for Customs, HTS code, legal rationale, and other related information individually or en masse.
9. Future classification consistency is dependent upon adoption of the methodical and systematic classification approach employed by PriceWaterhouse Coopers (PwC).
 - AH intends to subscribe to the PwC service that maintains classification tools
 - Classification tool set and templates must be maintained where service parts and non-service parts are classified.
10. To provide credible and consistent import operations, American Honda will provide a single point of contact for all classification issues with U.S. Customs and customs brokers in the USA.
11. American Honda must be able to audit, sort, compare and generate reports of parts; descriptions, HTS and other classification-related criteria at will.
12. American Honda must have documented internal controls, policies, and procedures in place for the Classification process.

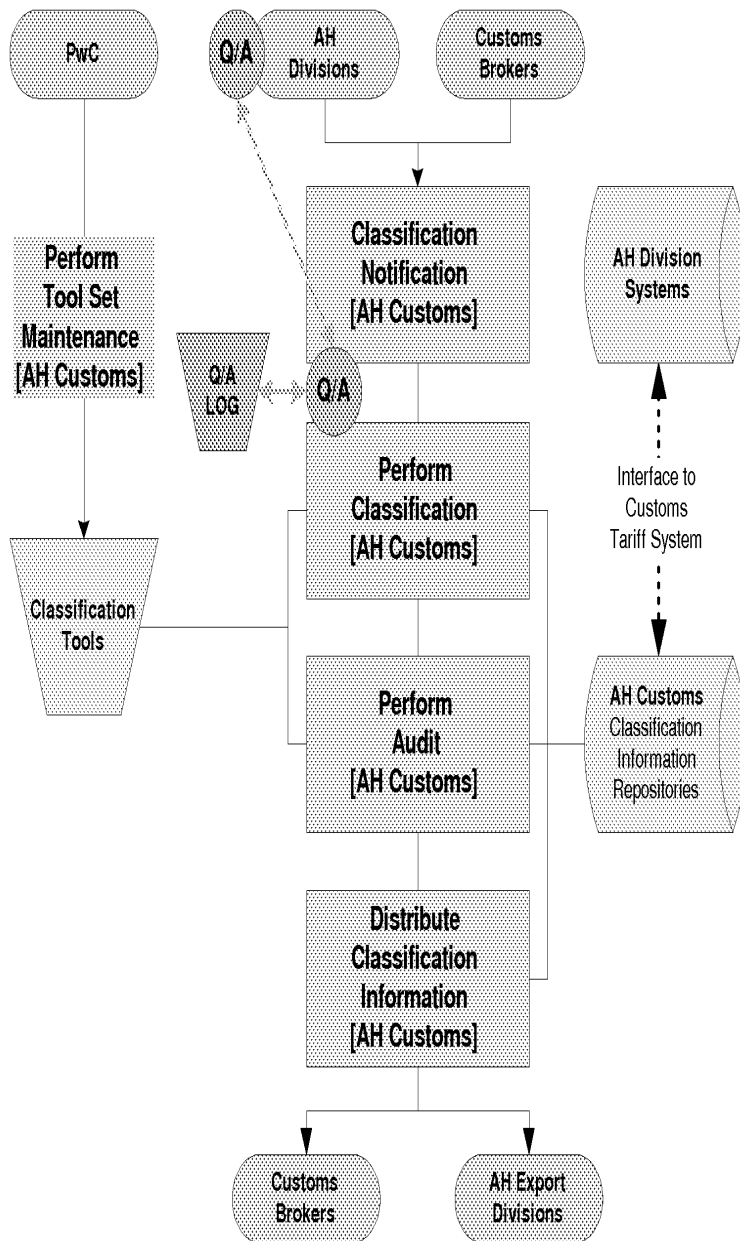
CUSTOMS BUSINESS FUNCTION FLOW

Service Replacement Parts - Classification at HB



CUSTOMS BUSINESS FUNCTION FLOW

Non-Service Replacement Parts Classification - Future (Autos, Motorcycles, Power Equipment)

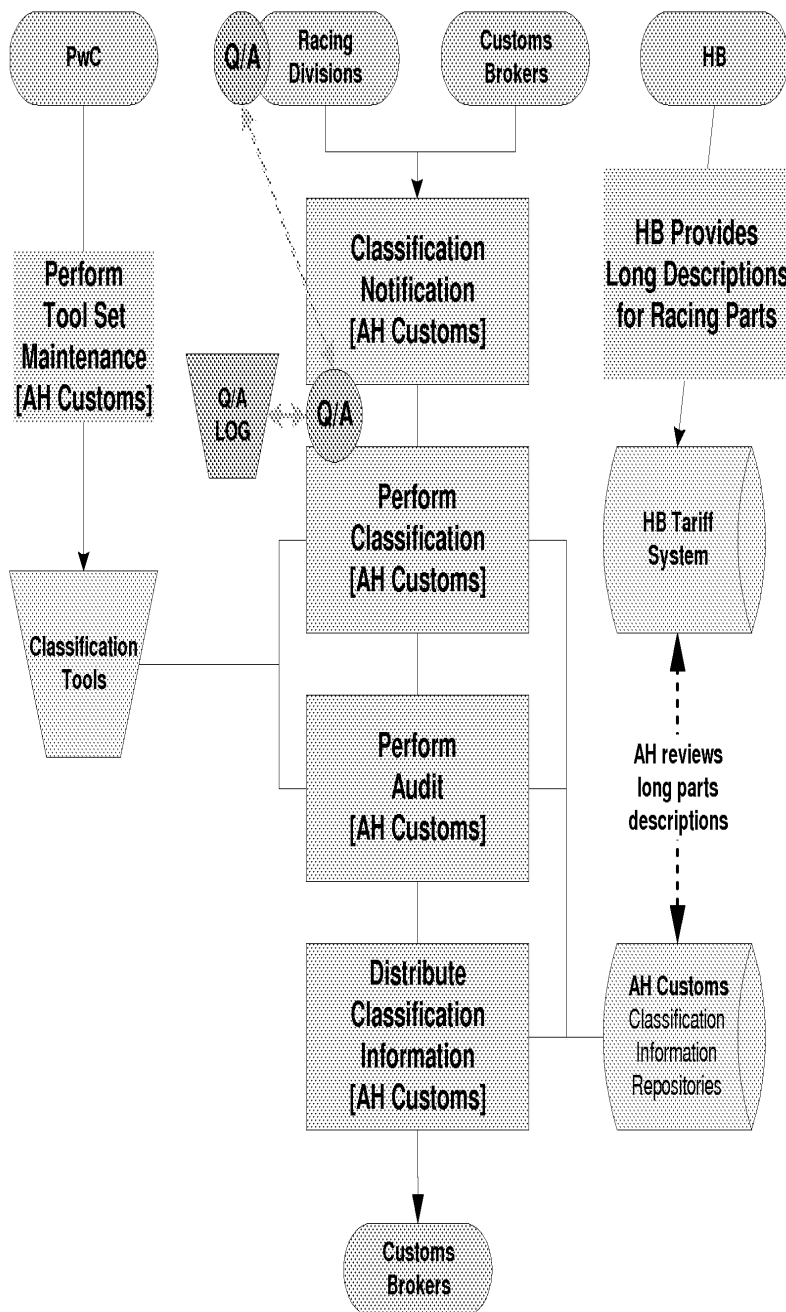


Function Description

- Non-service replacement parts include autos, motorcycles, and power equipment
- AH Customs is responsible for obtaining product information from other AH Divisions and applying appropriate classification information
- Various sources trigger classification adds or changes. Notifications requiring action include introduction of new models, ruling changes, self-audit discovery, or codes missing at entry
- Other AH Division systems provide new model information to the AH Customs Tariff System repositories which trigger requests for classification
- AH Customs tracks Questions and Answers with other AH Divisions during the notification and classification processes
- AH Customs determines the correct classification codes using classification tools such as U.S. Customs Tariff Book and PwC Tool Set
- AH Customs assigns HTS codes to products with other required information such as extended customs descriptions, legal rational, and timestamps
- AH Customs performs an audit of all classification assignments and confirms consistency
- AH Customs updates Customs Brokers with latest Classification data and provides information to AH Export Divisions upon request
- Classification tools are maintained by AH Customs

CUSTOMS BUSINESS FUNCTION FLOW

Non-Service Replacement Parts Classification - Future (Racing Parts - CART & Motorcycle)



Function Description

- Non-service replacement parts include racing parts
- HB provides the long part descriptions for Racing Parts through the HB Tariff System
- AH Customs receives e-mail notifications from Racing Divisions (CART and Motorcycle), which include a spreadsheet of detailed part numbers needing classification
- AH Customs tracks Questions and Answers with Racing Divisions during the notification and classification processes
- AH Customs reviews long part descriptions contained in the HB Tariff System and uses the classification tools to help determine the correct codes
- AH Customs assigns classification information to each Racing Part and then performs an audit of all assignments to confirm consistency
- AH Customs updates Customs Brokers with latest Classification data
- Classification tools are maintained by AH Customs

Business Requirements – Product Attributes

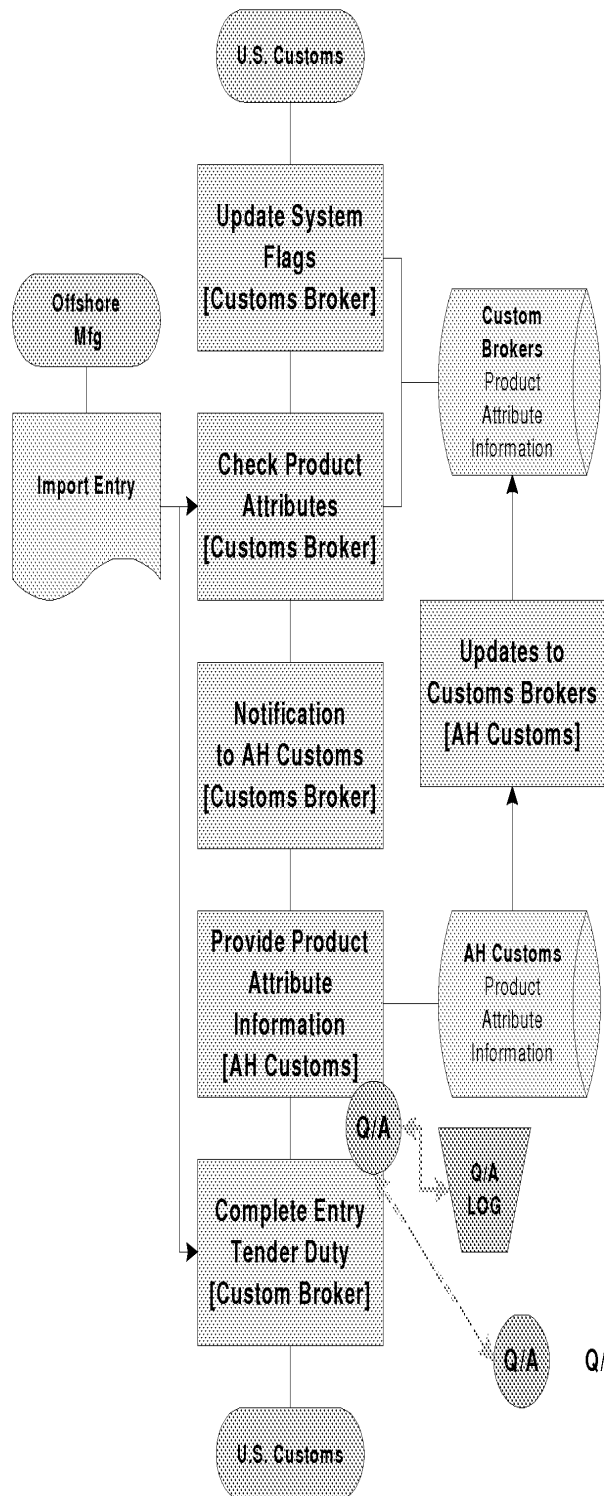
In the compliance category of Product Attributes, the business requirements for American Honda are:*

1. American Honda must identify the **MID** (Manufacturer Identification) and **COO** (Country of Origin) for import products during the classification process prior to shipment.
2. American Honda must identify products subject to **ADD/CVD** (Anti-dumping and Countervailing duties), keep abreast of all changes (such as changed duty rates or initiated/dropped cases); track effective dates pertaining to anti-dumping and countervailing duty changes; and ensure that all Anti-dumping and Countervailing duties are paid.
3. American Honda must identify products eligible for **SPI** (Special Trade Program Initiatives) such as **GSP** (Generalized System of Preferences) or **NAFTA** (North American Free Trade Agreement), identify requirements and maintain copies of manufacturers trade program certificates.
4. American Honda must identify **OGA** (Other Government Agency) certification information for products, such as **DOT** (Dept. of Transportation), **EPA** (Environmental Protection Agency), **FCC** (Federal Communications Commission), and **TSCA** (Toxic Substance Control Act).
5. American Honda must identify **Reporting Quantity** and **Identifiers** (units of measure) such as M3, CUFT, KwA, for all products.
6. American Honda must have documented internal controls, policies and procedures in place.
7. American Honda must perform internal audits at will, and have internal checks in place.

***Note: All additional import information defined above must be available to Customs Brokers prior to entry.**

BUSINESS FUNCTION FLOW

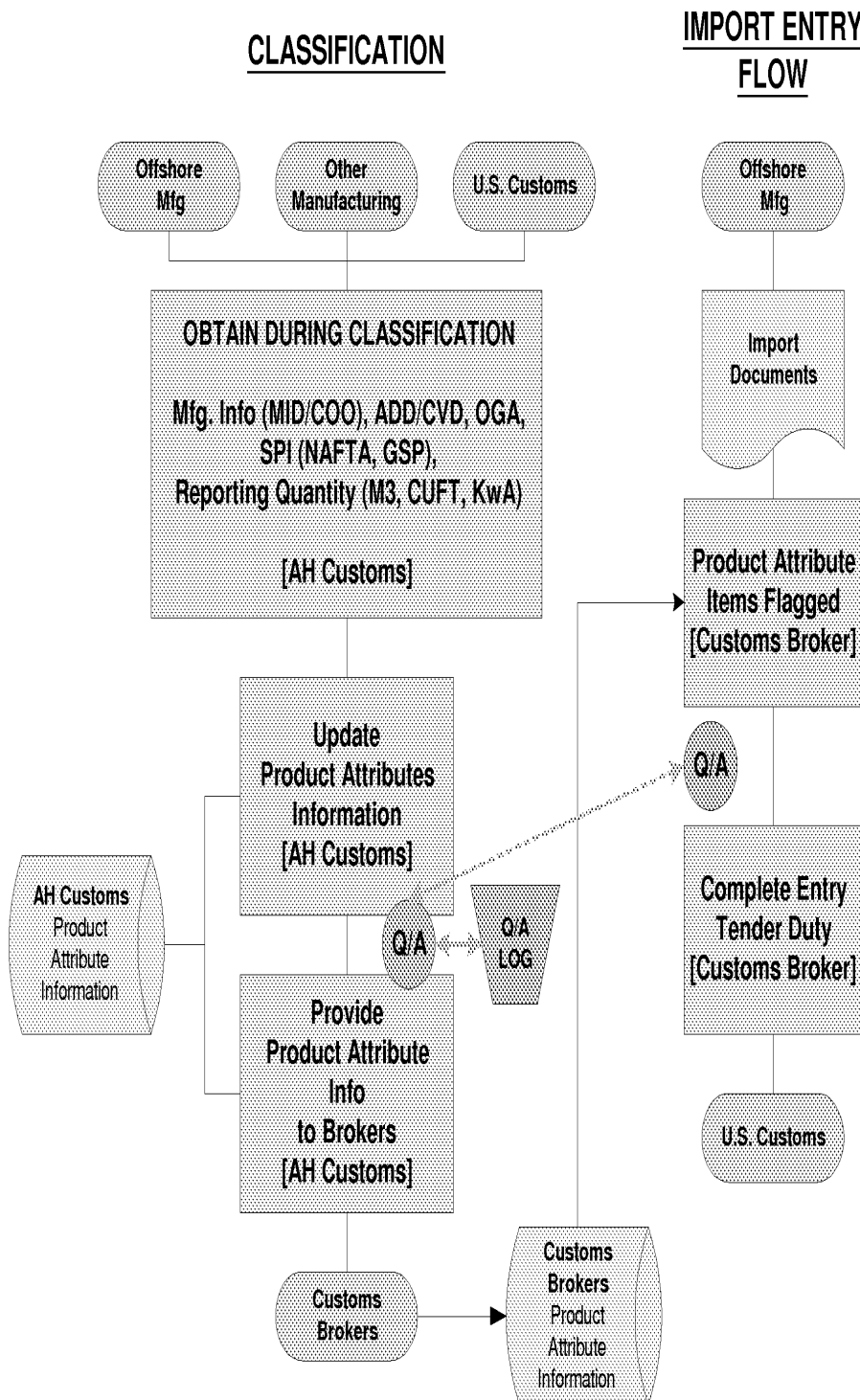
Product Attributes (Current)



Function Description

- Customs Brokers update their local systems with product attribute information received from U.S Customs (such as MID, COO, ADD/CVD, SPI, Quota/Visa, OGA, and Reporting Quantities).
- Customs Brokers update their local systems with AH product attribute information.
- Custom Broker's check specific product attributes at time of entry.
- When product attribute information is missing, Custom Brokers notify AH Customs.
- AH Customs obtains and provides product attribute information to Customs Brokers daily
- AH Customs logs Q/A product attribute inquiries with suppliers
- Custom Brokers complete entries and tender duties to U.S. Customs as required

BUSINESS FUNCTION FLOW Product Attributes (Future)



Function Description

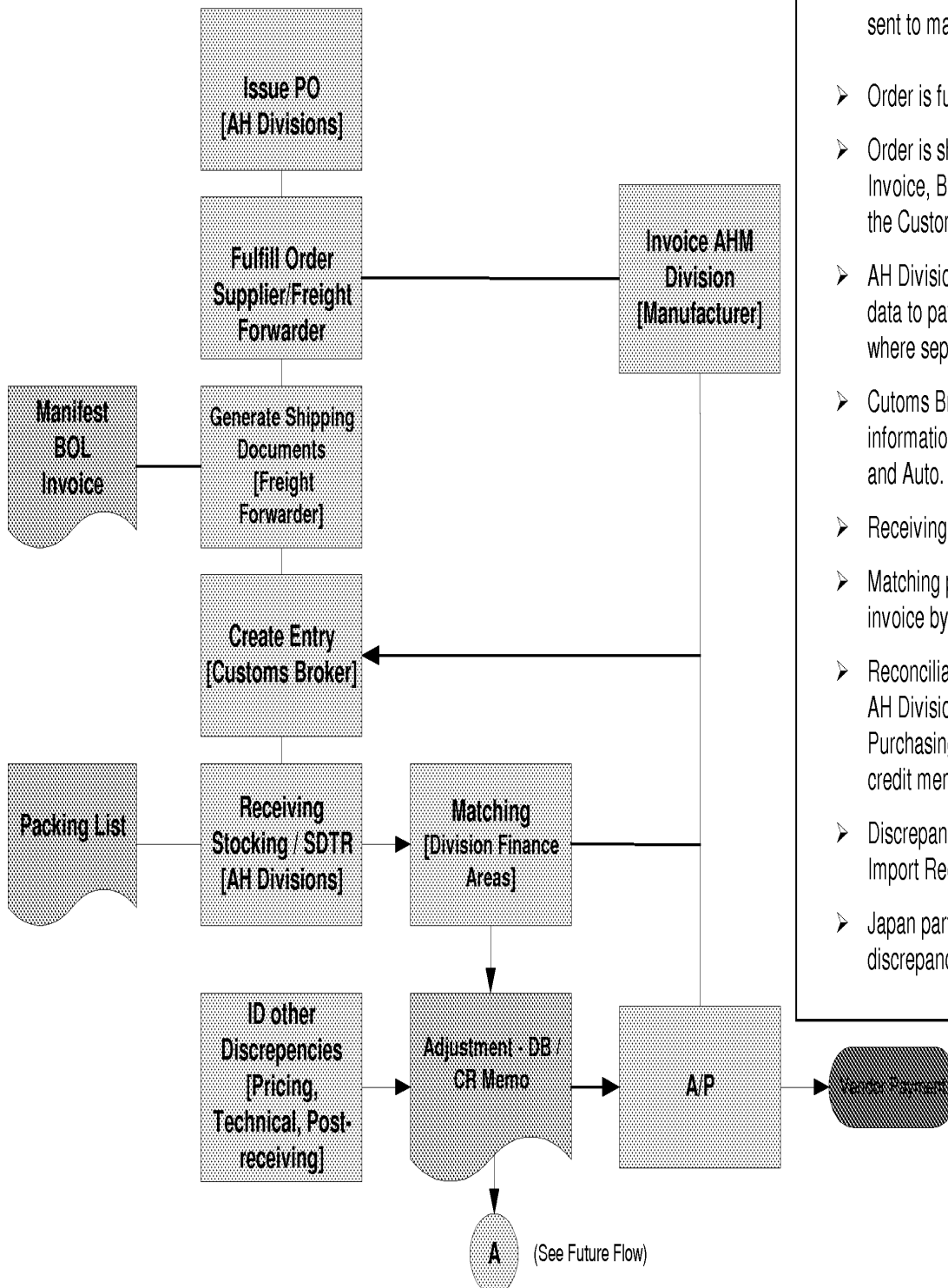
- In the future, AH Customs will obtain all product attribute from the manufacturer during the classification process.
- AH Customs updates the repositories with product attribute information.
- AH Customs provides all product attribute information to Customs Brokers prior to shipment (daily).
- Customs Brokers update their local systems with AH product attribute information.
- At time of Entry, Custom Brokers flag and reference AH Customs supplied product attribute information.
- When product attribute information is missing, AH Customs receives Customs Brokers requests, responds with appropriate answers, and logs the questions and answers in the Q/A Log.
- Custom Brokers complete entries and tender duties if needed.

Business Requirements - Transaction Value/Reported

In the compliance category of **Transaction Value/Reported**, the business requirements for American Honda are:

1. American Honda must report and pay duty on the actual price paid (transaction value), or payable for imported products.
2. American Honda must reconcile invoice value, entered value, and actual paid amount.
 - Debit/Credit Memos - relate invoice entries to payments at line item level
 - PO(purchase order) Number - should be referenced on the invoice for audit trail purposes
3. Corrections must be accomplished via U.S. Customs approved methods:
 - 10th Day Retransmission of entry summary within 10 days of release
 - PEA (post entry amendment program)
 - SIL (supplemental information letter)
 - Voluntary Disclosure/Tender, etc.
 - Customs reconciliation Prototype
4. American Honda must maintain accurate records to reflect transaction value adjustments submitted to U.S. Customs.
5. American Honda must have documented internal controls, policies and procedures in place.
6. American Honda must perform internal audits at will, and have internal checks in place.

BUSINESS FUNCTION FLOW - Transaction Value/Reported (Current)

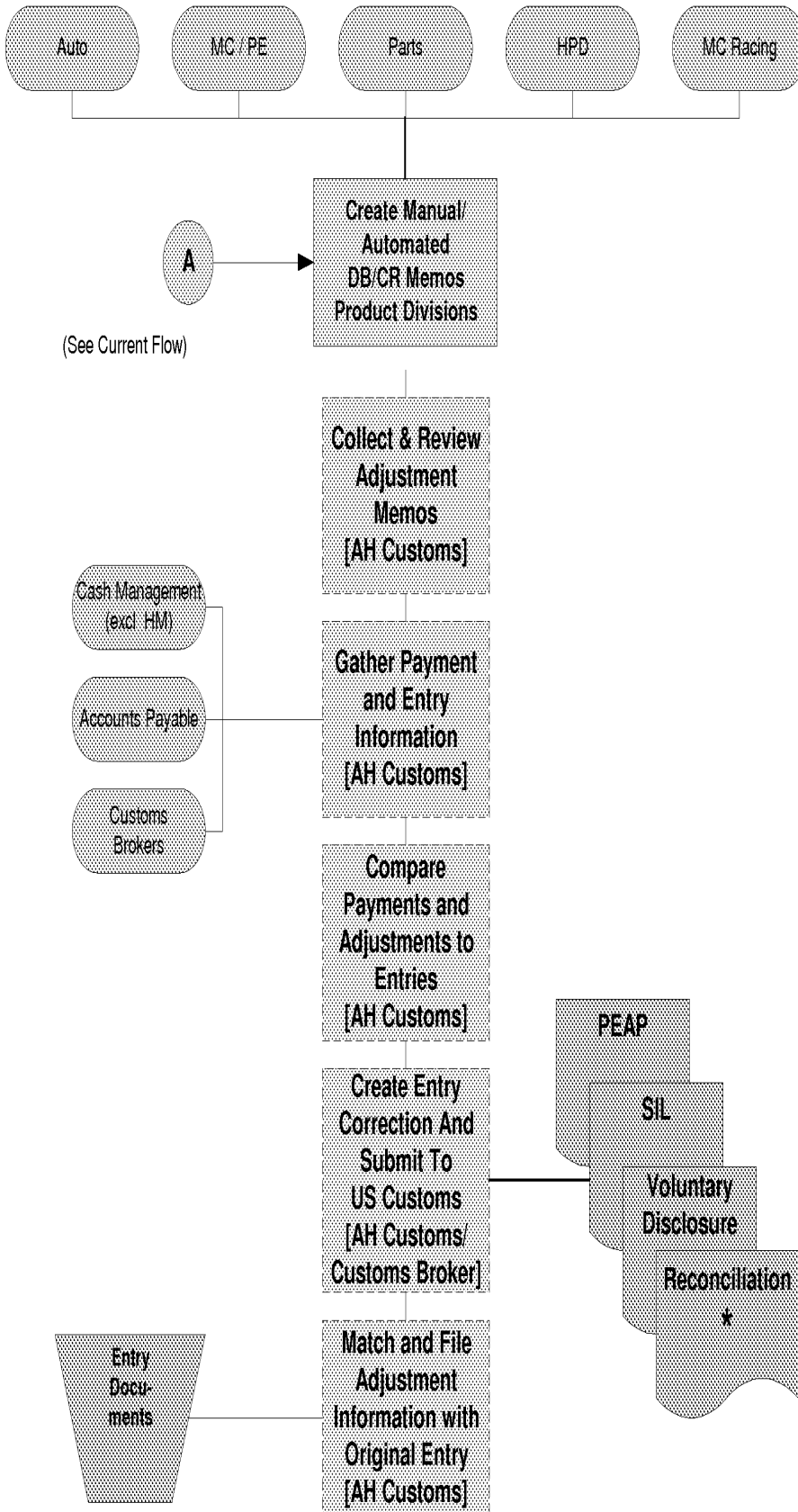


Function Description

- Each Division creates purchase orders that are sent to manufacturers.
- Order is fulfilled by manufacturer.
- Order is shipped by freight forwarder - Hardcopy Invoice, BOL is sent upon shipment and is used by the Customs Broker.
- AH Division uses hard copy invoices and electronic data to pay manufacturers(except Canadian Auto where separate billing data is received).
- Customs Broker creates entry with shipping/invoice information, plus electronic information for Parts and Auto.
- Receiving is performed by AH Division.
- Matching process is run to match payment against invoice by Division.
- Reconciliation debit/credit memos are initiated by AH Division, Receiving, Warehouse, and Purchasing departments. AP associates debit/credit memo with vendor payment.
- Discrepancies are identified by the Canada Auto Import Reconciliation System(CAIRS).
- Japan parts are not adjusted, unless significant discrepancies exists.

BUSINESS FUNCTION FLOW - Transaction Value/Reported (Future)

Trade Compliance System

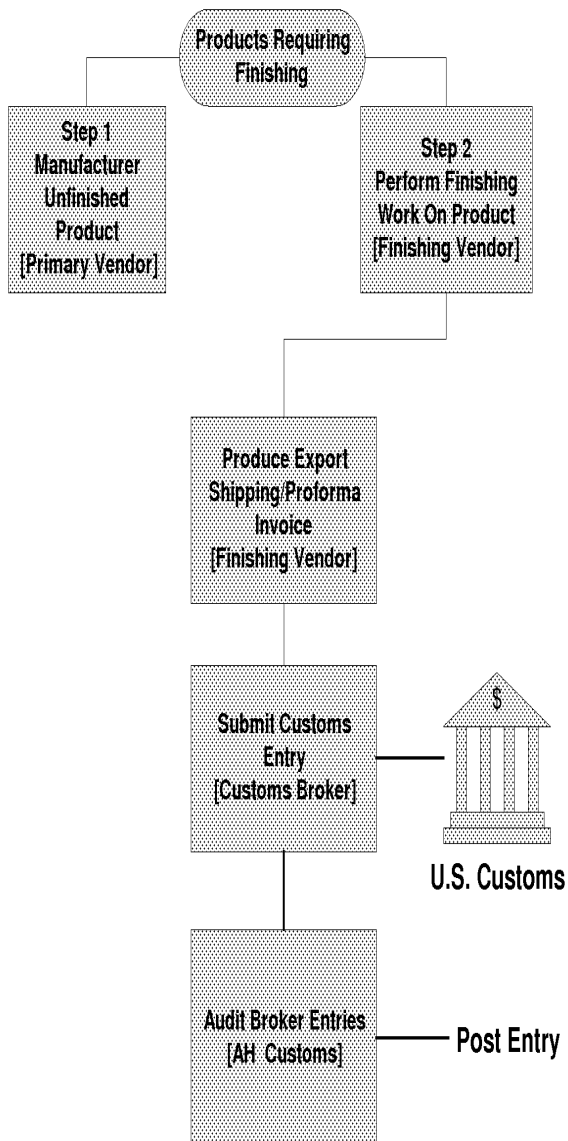


Function Description

- Each Division creates debit and credit memos in order to adjust the amount paid to a vendor, at invoice line level.
- AH Customs will review the debit and credit memos to determine if the previously filed entry needs to be adjusted at an invoice line item level.
- AH Customs will review all entry documentation and all AH payments related to a given entry at the invoice line level.
- AH Customs will compare the adjusted transaction value with the transaction value declared on the entry at the invoice line level. If there are any discrepancies, a disclosure may need to be submitted to U.S. Customs.
- Transaction Value validation to happen on all shipments except HB (Japan).
- AH Customs will apply all adjustments to the appropriate entry at the invoice line level.
- AH Customs will create correcting entries for all adjustments that are material, at the invoice line level. The appropriate correction process will need to be used.
- AH Customs will file all adjustment documentation with the related entry documentation. This will facilitate processing of future adjustments for the same entry and responding to audit inquiries. This process of adjustment will be ongoing.
- * Must be flagged for reconciliation at time of initial entry.

BUSINESS FUNCTION FLOW

Transaction Value/Reported - Drop Shipments (Current & Future)



Function Description

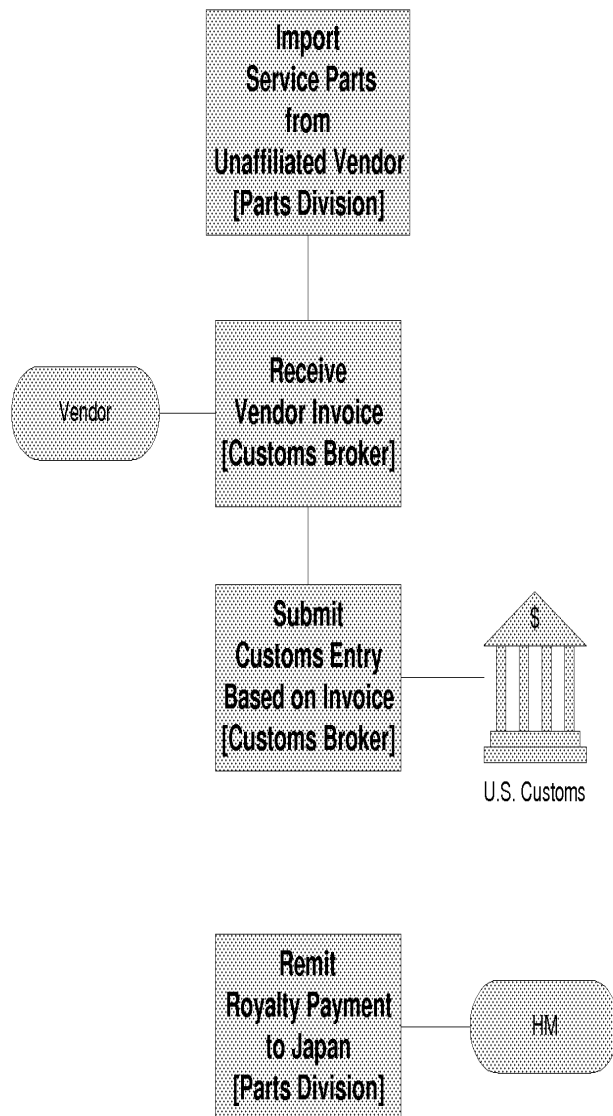
- Parts Division imports some parts that require a two step, two vendor process. Step 1 = the primary vendor manufactures and ships the base part, and if available, provides the unit cost figures to the finishing vendor. Step 2 = the finishing vendor performs additional manufacturing work on the part such as e-coating, and plating.
- The finishing vendor generates an export shipping / proforma invoice. This invoice is used for importation of the parts. The unit cost figures may be provided by the primary vendor, and when available are incorporated into the proforma invoice.
- Customs Broker declares the value of the parts to U.S. Customs based on the shipping / proforma invoice, based on invoice value.
- AH Customs performs a post-entry audit to identify invoices entered at less than full product cost and makes adjustments through a U.S. Customs approved method.

Business Requirements - Transaction Value/Unreported

In the compliance category of **Transaction Value/Unreported**, the business requirements for American Honda are:

1. In addition to declaring to U.S. Customs the actual price paid or payable for imported products, American Honda must report and pay duty on additional costs (sales commissions, royalties, assists, packaging, and proceeds).
 - Value of any assist, apportioned as appropriate
 - HPD research and development expenses
 - Tooling Assists
 - Royalty or license fee that AH is required to pay, directly or indirectly, as a condition of the sale
 - Honda Access America royalty payments made to Honda Access Corp. (where AH is importer of record)
 - Service parts royalties paid to Japan
2. U. S. Customs offers the following methods for declaring the additional costs if the costs are not declared on the original entry:
 - 10th Day Retransmission of Entry Summary Within 10 Days of Release
 - PEAP (post entry amendment program)
 - SIL (supplemental information letter)
 - Voluntary Disclosure/Tender, etc.
 - Customs Reconciliation Prototype
3. AH must provide the required audit trail to document additional costs.
4. American Honda must have documented internal controls, policies and procedures in place.
5. American Honda must perform internal audits at will, and have internal checks in place.

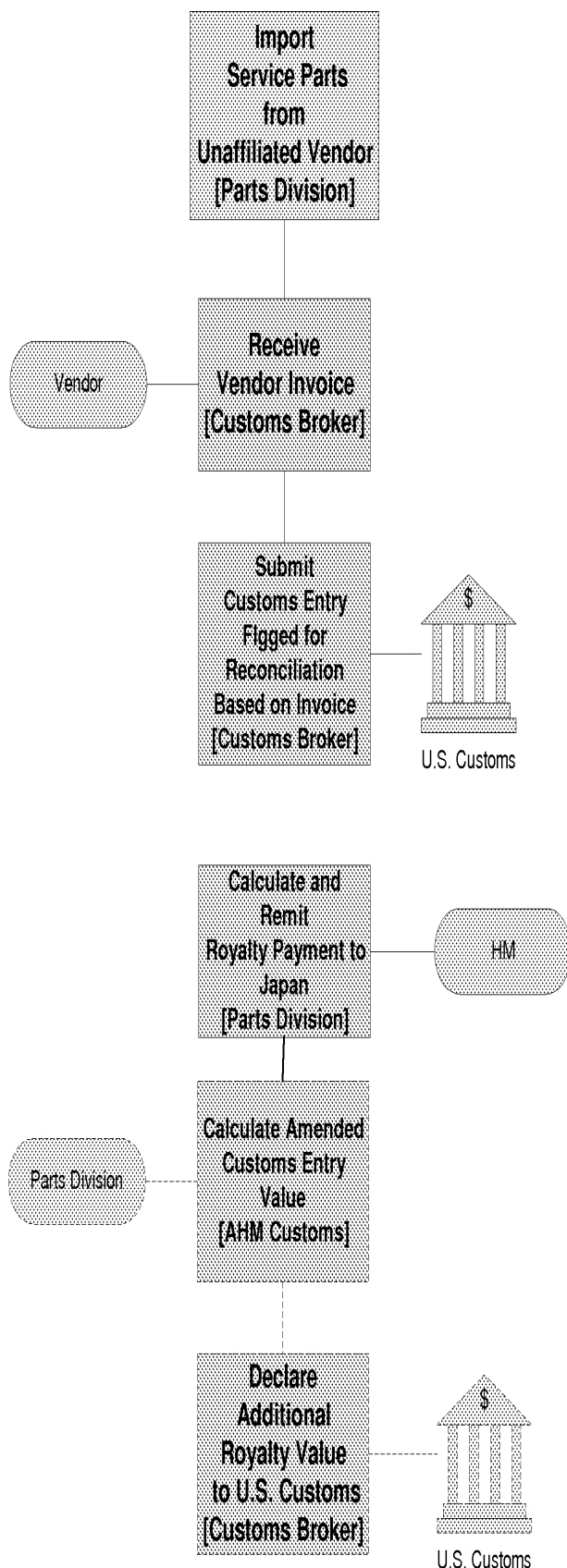
BUSINESS FUNCTION FLOW - Transaction Value/Unreported Service Parts Royalty(Current)



Function Description

- Parts Division imports service parts from foreign vendors not affiliated with Honda.
- Customs Broker receives the vendor invoice prior to entry into the United States.
- Customs Broker declares the value of the service parts to U.S. Customs based on the vendor invoice. Import duty is paid, based on invoice value.
- Quarterly, the Parts Division remits payment for royalty fees for service parts purchased from vendors not affiliated with Honda Motor. U.S. Customs requires payment of duty on the additional royalty value.

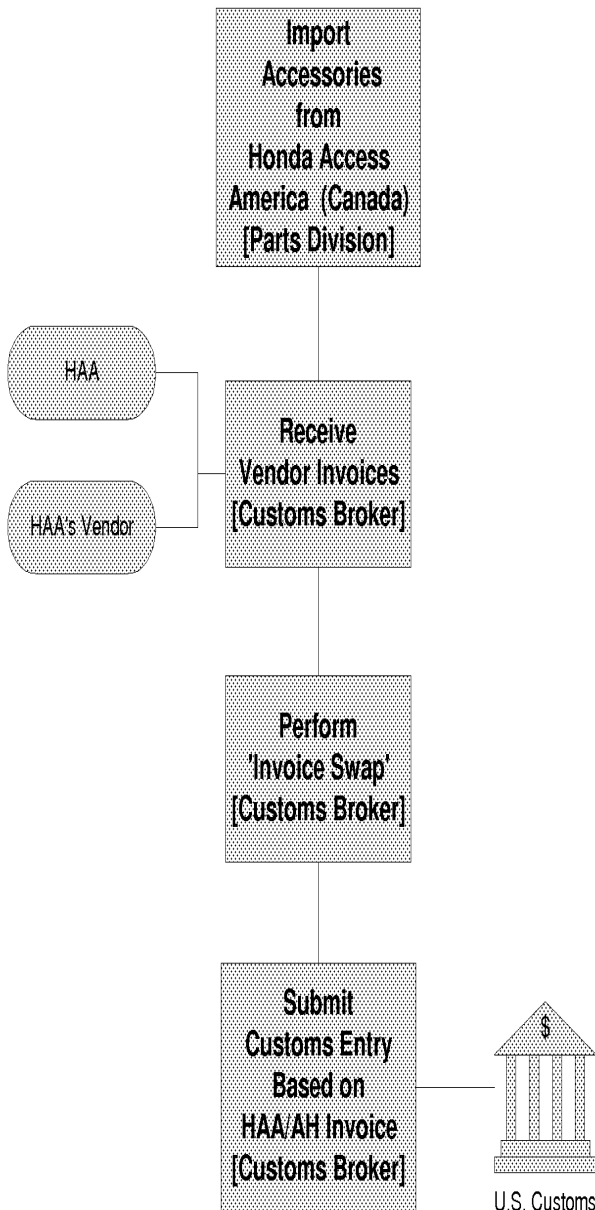
BUSINESS FUNCTION FLOW - Transaction Value/Unreported Service Parts Royalty (Future)



Function Description

- Parts Division imports service parts from foreign vendors not affiliated with Honda.
- Customs Broker receives the vendor invoice prior to entry into the United States.
- Customs Broker declares the value of the service parts to U.S. Customs based on the vendor invoice. Import duty is paid, based on invoice value.
- Quarterly, the Parts Division remits payment for royalty fees for service parts purchased from vendors not affiliated with Honda Motor. U.S. Customs requires payment of duty on the additional royalty value.
- A process or procedure needs to be established to calculate the amended value for each entry effected by the royalty fees.
- A process or procedure needs to be established to declare the amended value and submit payment to U.S. Customs.

BUSINESS FUNCTION FLOW - Transaction Value/Unreported Honda Access Corp., Ltd Royalty (Current & Future)

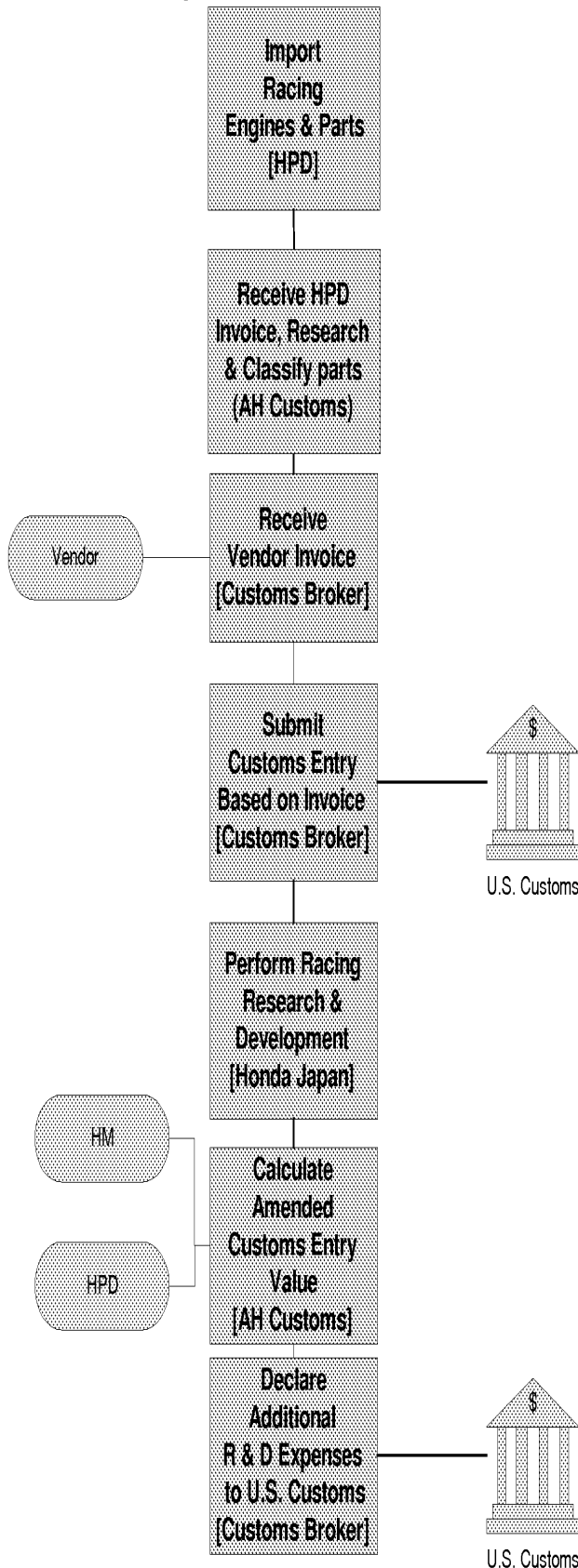


Function Description

- Parts Division imports Honda accessories from Honda Access America (HAA) of Canada. These accessories are produced and shipped by other Canadian vendors on behalf of HAA. HAA must pay royalty fees to Honda Access Co., Ltd. (HAC).
- The Customs Broker receives the invoice from the HAA vendor providing the product, and also the invoice from HAA to AH, which includes the royalty payment.
- The Customs Broker performs an 'invoice swap', substituting the invoice from HAA to AH for the HAA vendor invoice. The HAA to AH invoice is used for entry declaration.
- The Customs Broker declares the value of the accessories to U.S. Customs based on the HAA to AH invoice, which includes the royalty value. Import duty is paid, based on invoice value.

BUSINESS FUNCTION FLOW

Transaction Value/Unreported - HPD Research & Development Expenses (Current & Future)

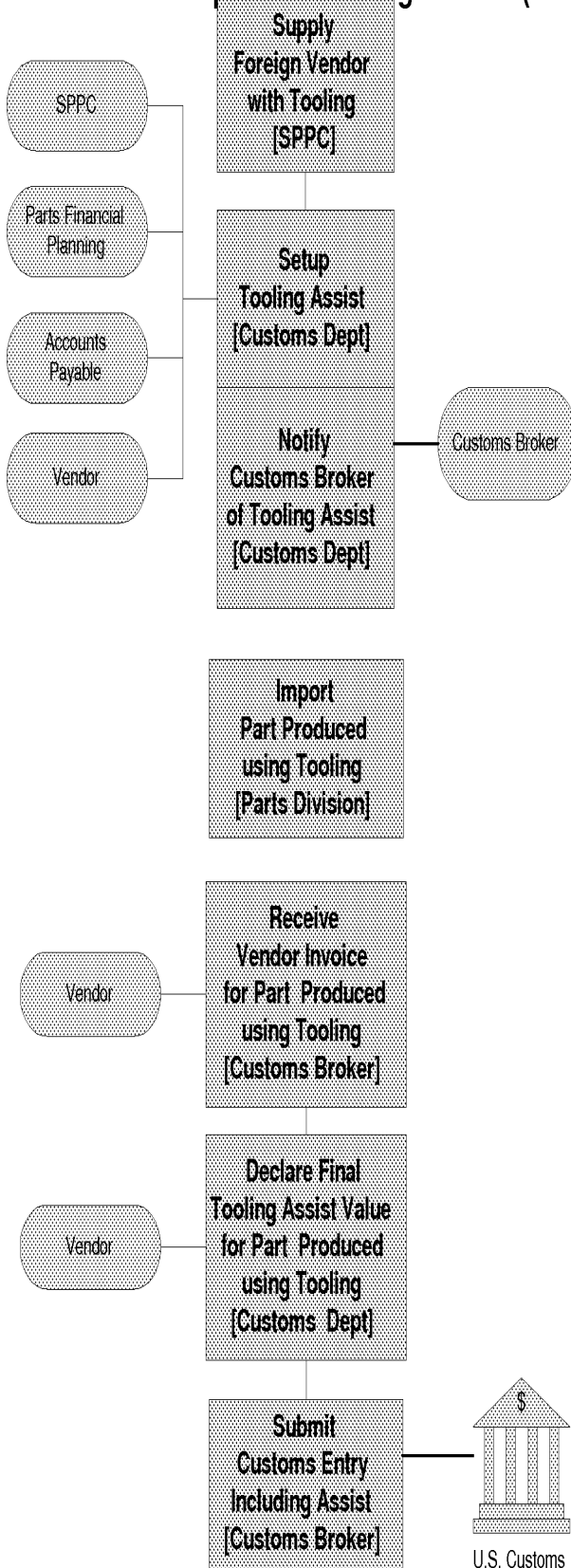


Function Description

- HPD imports racing engines and parts from Japan to be used in CART Racing.
- AH Customs receives HPD invoice, researches and classifies parts, then sends info to Customs Brokers.
- The Customs Broker receives the vendor invoice prior to goods arrival into the United States.
- The Customs Broker declares the value of the racing engines and parts to U.S. Customs based on the vendor invoice. Import duty is paid, based on invoice value. The entry may be flagged for later value reconciliation.
- Honda Japan incurs research and development expenses related to CART racing. These expenses need to be reported to U.S. Customs as additional value for the racing engines and engine parts imported by HPD.
- AH Customs determines the net dutiable R & D expenses and reports them to U.S. Customs through Customs Brokers reconciliation prototype.
- The Customs Broker declares the amended value and remits the additional import duty as required.

BUSINESS FUNCTION FLOW

Transaction Value/Unreported - Tooling Assists (Current & Future)



Function Description

- American Honda provides tooling, free of charge, to foreign vendors to produce customized Honda parts. U.S. Customs requires import duty be paid on the value of the tooling when the resulting parts are imported.
- AH Customs Department receives notification of the Capital Equipment Request (CER) from SPPC. Additional information is gathered from various departments including the cost of the tooling and a list of parts that will be produced with the apportionment factor. The planned production date is requested from the vendor.
- Customs Broker is notified of the pending importation of the parts affected by the assist.
- The parts produced with the tooling assist are imported into the U.S.
- The Customs Broker receives the vendor invoice prior to entry into the United States. The apportioned tooling assist value needs to be declared once, for the first importation of each part affected by the assist.
- The Customs Broker submits entry.

Business Assessment

Analysis

The TCS project team performed analysis of the current and future business processes pertaining to the compliance categories of: Classification, Product Attributes, Quantity, Transaction Value/Reported, Transaction Value/Unreported and Record Keeping.

The analysis included:

- Evaluated the current business processes
- Compared the current/proposed business processes to the business requirements
- Determined if there are gaps or deficiencies
- Identified proposed business processes
- Captured the current and proposed processes in business flow diagrams
- Validated the processes with the applicable business units

Business Assessment (cont.)

Quantity

The proposed Quantity business flow and requirements were reviewed and found to satisfy all business requirements except for the following:

- Internal controls must be documented
- Perform audits at will

Based on the analysis of the Quantity process, our recommendations are:

- Implement the proposed Quantity process
- Perform analysis of Canada Auto imports - it is recommended that the Customs/ISD Support Team and the Auto Division perform analysis to determine if improvements to Canadian process could reduce Customs Department's reliance on the CAIRS system. The CAIRS (Canada Auto Import Reconciliation System) is used extensively to validate valuation claims on entries of Canadian autos. This process is very labor intensive, highlights numerous errors and has the potential to overwhelm current AH Customs staffing levels. *(Customs/ISD Support Team currently researching)*
- Develop a process for AH Customs to perform audits at will and have internal checks in place
- AH Customs will develop and document procedures in all compliance categories

Business Assessment (cont.)

Classification

The proposed Classification business flow and requirements were reviewed and found to satisfy the twelve business requirements except for the following:

- AH must assign HTS codes in the required format for export replacement parts
- Staffing requirements and assignments TBD

Requirements that need to be addressed in support of the proposed business process include:

- A process for assigning export HTS codes must be defined and put in place to support business requirements
- AH roles and responsibilities must be decided to support the business requirements

Based on these findings, our recommendations are:

- Implement the proposed Classification process
- Finalize AH roles and responsibilities
- Defer export part classification process until Phase 2 of this project
- Develop a process to perform audits at will and have internal checks in place
- AH Customs will develop and document procedures in all compliance categories

Additional Recommendation:

- The Classification and Product Attributes requirements use similar processes to obtain necessary information. It is recommended that the business requirements (Classification and Product Attributes) be combined into one system requirements document and one design document.

Business Assessment (cont.)

Record Keeping

AH meets compliance standards in the category of Record Keeping. Further, a Record Keeping policy was implemented with AH Customs Record Keeping Policy effective August 2000.

Based on the analysis of the Record Keeping process, our recommendations are:

- Implement the proposed Record Keeping process:
 - Develop methods to store electronic entries (*storage of electronic entries will be handled in development of core systems (post entry and audit reporting process), that supports the business requirements.*)
 - Develop a process to perform audits at will and have internal checks in place
 - AH Customs will develop and document procedures in all compliance categories

Business Assessment (cont.)

Product Attributes

The proposed Product Attributes business flow and requirements were reviewed and found to satisfy all business requirements.

Based on these findings, our recommendation is to:

- Implement the proposed Product Attribute process
- Develop a process to perform audits at will and have internal checks in place
- AH Customs will develop and document procedures in all compliance categories

Additional Recommendation:

- The Classification and Product Attributes requirements use similar processes to obtain necessary information. It is recommended that the business requirements (Classification and Product Attributes) be combined into one system requirements document and one design document.

Business Assessment (cont.)

Transaction Value/Reported

The proposed Transaction Value / Reported business flow and requirements were reviewed and found to satisfy all business requirements previously defined with the exception of the two items listed below.

- A process that links a purchase order to an entry must be defined and put in place to support audit requirements
- Internal controls, policies and procedures must be documented

Based on these findings, our recommendations are:

- Implement the proposed Transaction Value/Reported process
- Implement a method to link the purchase order with the corresponding entry
- Develop a process to perform audits at will and have internal checks in place
- AH Customs will develop and document procedures in all compliance categories
- Perform analysis of Canada Auto imports - it is recommended that the Customs/ISD Support Team and the Auto Division perform analysis to determine if improvements to Canadian process could reduce Customs Department's reliance on the CAIRS(Canada Auto Import Reconciliation System) system. CAIRS is used extensively to validate valuation claims on entries of Canadian autos. This process is very labor intensive, highlights numerous errors and has the potential to overwhelm current customs staffing levels. (*Customs/ISD Support Team currently researching*)

Business Assessment (cont.)

Transaction Value/Unreported

There were four business processes of concern identified dealing with royalties and assists. These business processes were documented and compared to the current business requirements.

- Service Parts Royalty – Although service part royalties are paid to Japan quarterly, there is no ongoing process to declare this additional value to Customs. The 'future' business flow documents the new processes required to meet the business requirements and become compliant.
- Honda Access Corp., Ltd. Royalty – The recently implemented business process change to utilize 'invoice swapping' to declare the value reflecting the royalty payment was found to meet current business requirements.
- HPD Research and Development – The current process utilizing the Customs Reconciliation Prototype to declare the R & D Expenses was found to meet current business requirements. This process may no longer be necessary when AH stops participating in CART.
- Tooling Assists – Tooling Assists are no longer required as AH will be selling equipment and/or tooling rather than supplying it free of charge. Should Tooling Assists be required in the future, the current manual process was found to meet current business requirements.

The areas of commissions, packaging, and proceeds were determined to not be a compliance issue for AH, so no further analysis was done.

Based on these findings, our recommendations are:

- Ongoing processes need to be established for the declaration of additional value to U.S. Customs for Service Parts Royalties.
- Develop a process to perform audits at will and have internal checks in place
- AH Customs will develop and document procedures in all compliance categories

Exhibit 3

HONDA

TRADE COMPLIANCE SYSTEM

SHELL ARCHITECTURE

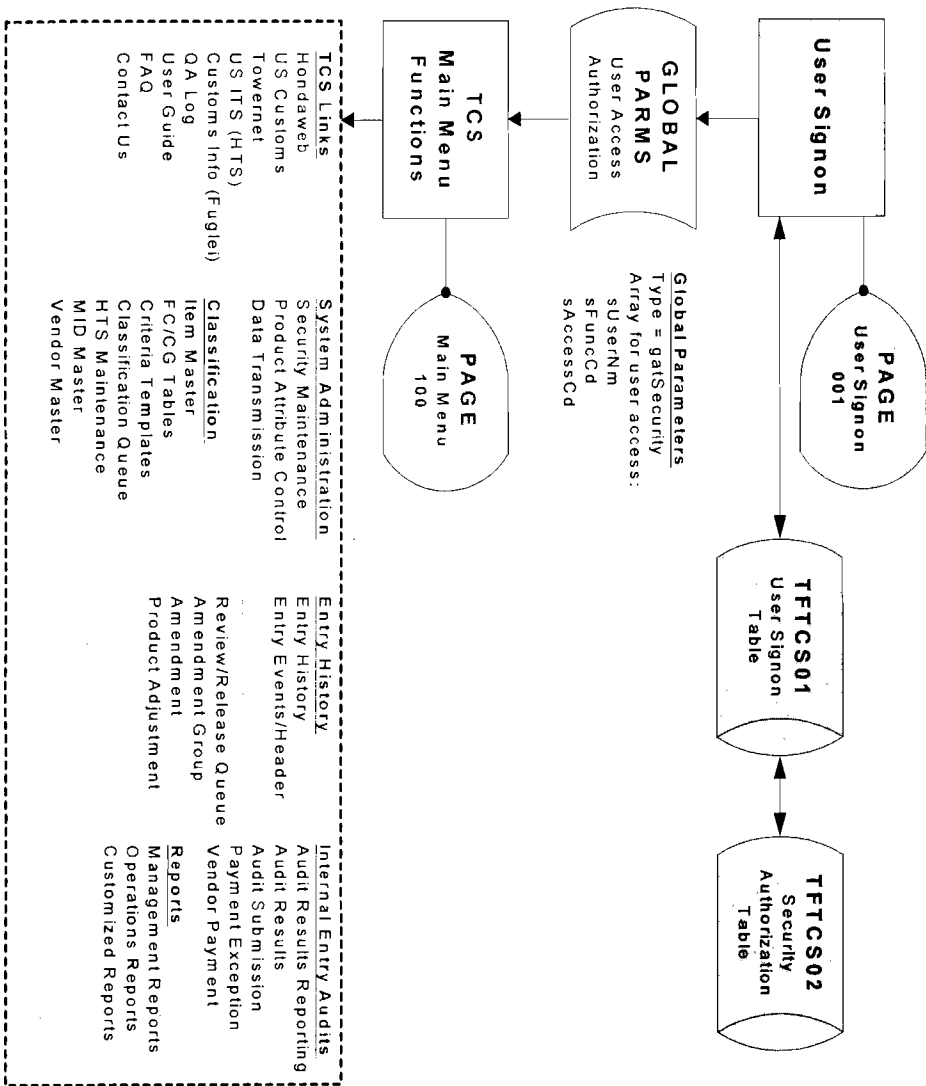
MAIN MENU SPECIFICATION

4/23/02 9:00 AM

TCS Main Menu – Overview

This document describes the detail design specifications for the Trade Compliance System (TCS) Main Menu. Global Parameters are set at Signon that define the appropriate TCS applications to be displayed for each User. The following specifications are in this document:

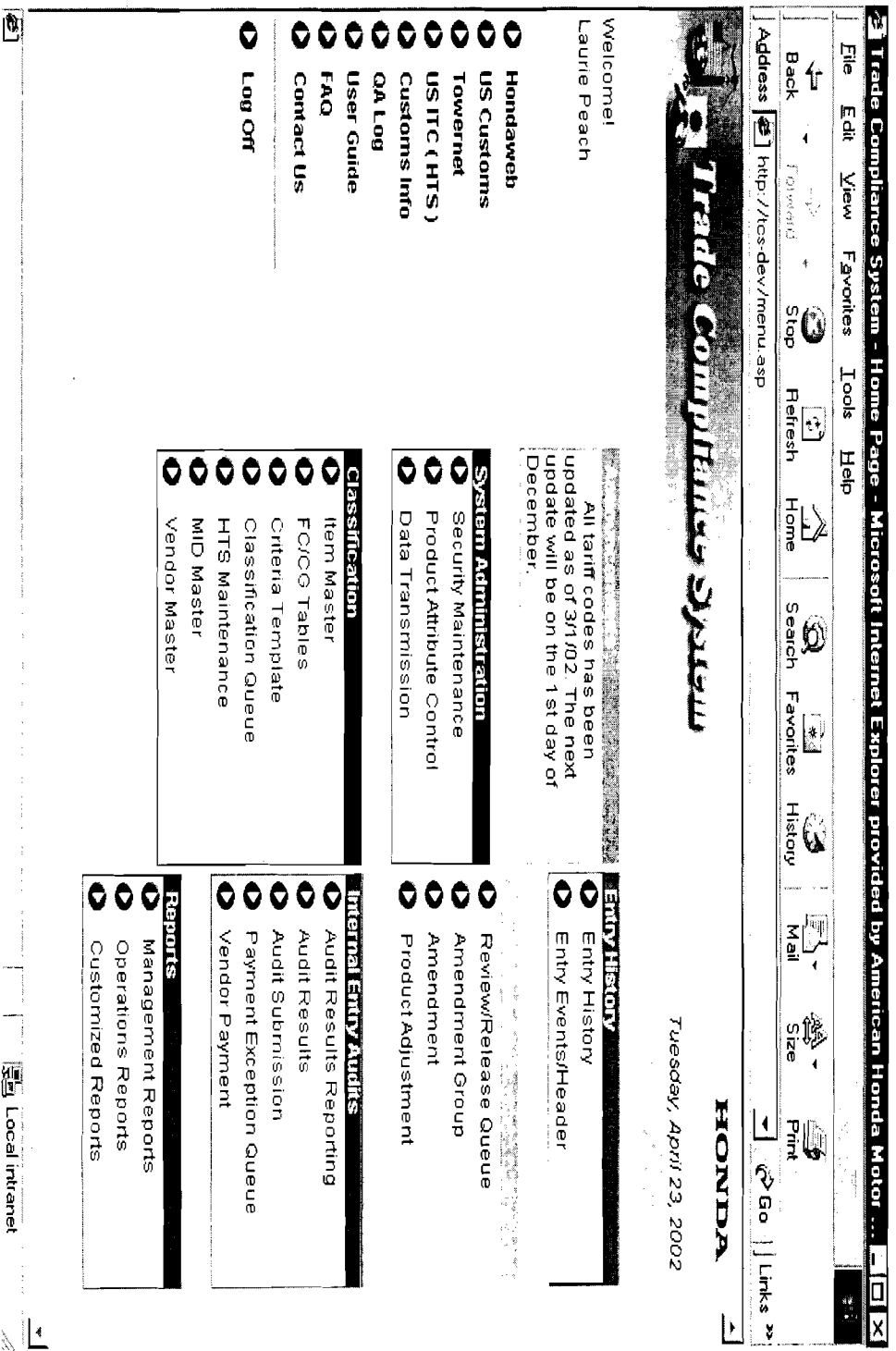
- Global parameters
- TCS Main Menu page design
- TCS external web site links



TCS Main Menu Design

The Systems Administrator pre-sets the access authority for each User, and at Signon, the Global Parameters are populated for the session. Based on these assignments, the Main Menu displays the specific TCS functions that may be accessed. If the User does not have access authority to a function, it will not display.

- **TCS Application Functions:** Main Menu displays color-coded groups of TCS applications for easy identification and navigation
- **External Web Site Links:** Main Menu provides links to common Web Sites and other external applications such as Lotus Notes Q&A database
- **Announcements:** Main Menu displays messages from the System Administrator



Global Parameters

CONTROL	FUNCTION	VARIABLE NAME	SOURCE	VALUES	COMMENTS
User Name	Identifies User logging into TCS system	gasUSER_NM	User Signon	Tom Potts Matt Halteman	User Name set at Signon
Function Code	Identifies TCS Function code	gasFUNC_CD	User Signon	01 10	TCS Function codes selected from TFTCS02 at Signon
Function Name	Identifies TCS Function name	gasFUNC_NM	User Signon	SysAdmin Classification	TCS Function names selected from TFTCS02 at Signon
Access	Identifies TCS Function Access	gasACCESS	User Signon	R = Read U = Update A = Admin	TCS Access Authority selected from TFTCS02 at Signon

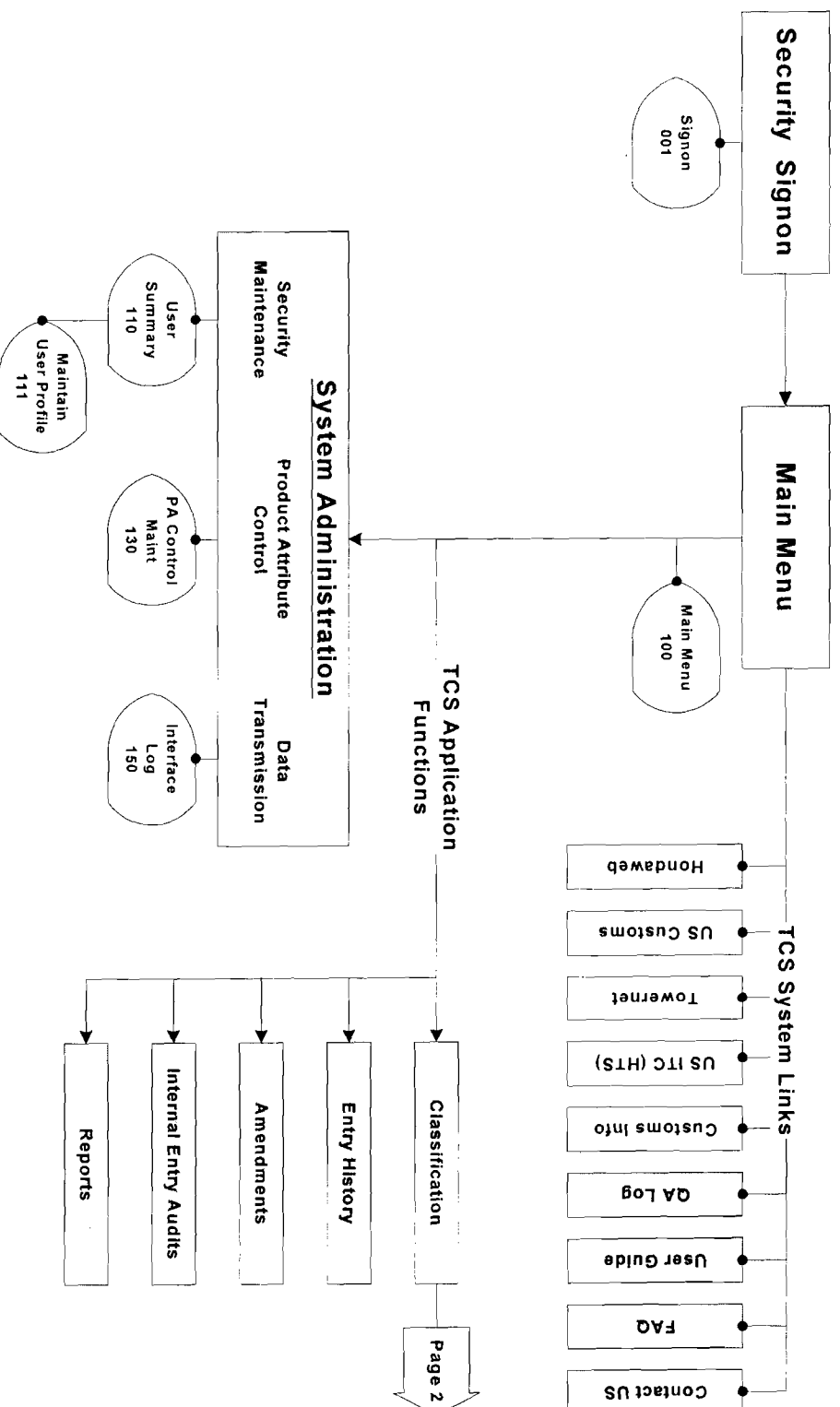
Commands

FUNCTION GROUP	COMMAND	FUNCTION	PAGE MAP ID or LINK ADDRESS	COMMENTS
Links	Hondaweb	Link to Honda web site		
Links	US Customs	Link to US Customs web site		
Links	Towermet	Link to Tower web site		
Links	HTS Online	Link to US/ITS web site		
Links	QA Log	Link to Lotus Notes Q&A database		
Links	User Guide	Link to User Guide PDF		
Links	FAQ	Link to Frequently Asked Questions		
Links	Contact Us	Link to Lotus Notes e-mail		
Exit	Log Off	Ends Session, returns to User's Home page		
System Admin	Security Maintenance	Link to Security Maintenance page	Screen 110	
System Admin	Product Attribute Control	Link to Product Attribute Control Table Maintenance page	Screen 130	
System Admin	Data Transmission	Link to Data Transmission page	Screen 150	
Classification	Item Master	Link to Item Master page	Screen 210	
Classification	FC / CG Tables	Link to Function Code / Commodity Group Table page	Screen 250	

FUNCTION GROUP	COMMAND	FUNCTION	SCREEN MAP ID or LINK ADDRESS	COMMENTS
Classification	Criteria Templates	Link to Commodity Group index page	Screen 260	
Classification	Classification Queue	Link to Classification Queue	Screen 220	
Classification	HTS Inquiry	Link to HTS Inquiry page	Screen 240	
Classification	MID Master	Link to MID Master page	Screen 270	
Classification	Vendor Master	Link to Vendor Master page	Screen 280	
Entry/History	Entry History	Link to Entry History page		
Entry/History	Entry Events / Header	Link to Entry Events / Header page		
Amendments	Review / Release Queue	Link to Review / Release Queue page		
Amendments	Amendment Group	Link to Amendment Group page		
Amendments	Amendment	Link to Amendment page		
Amendments	Product Adjustment	Link to Product Adjustment page		
Internal Entry Audits	Audit Results Reporting	Link to Audit Results Reporting page		
Internal Entry Audits	Audit Results	Link to Audit Results page		
Internal Entry Audits	Audit Submission	Link to Audit Submission page		
Internal Entry Audits	Payment Exception Queue	Link Payment Exception Queue page		
Internal Entry Audits	Vendor Payment	Link to Vendor Payment page		
Reports	Management Reports	Link to Management Reports page		
Reports	Operations Reports	Link to Operations Reports page		
Reports	Customized Reports	Link to Customized Reports page		

Note: Other Main Menu links TBD

Trade Compliance System - Screen Flow



Trade Compliance System - Screen Flow

Page
2

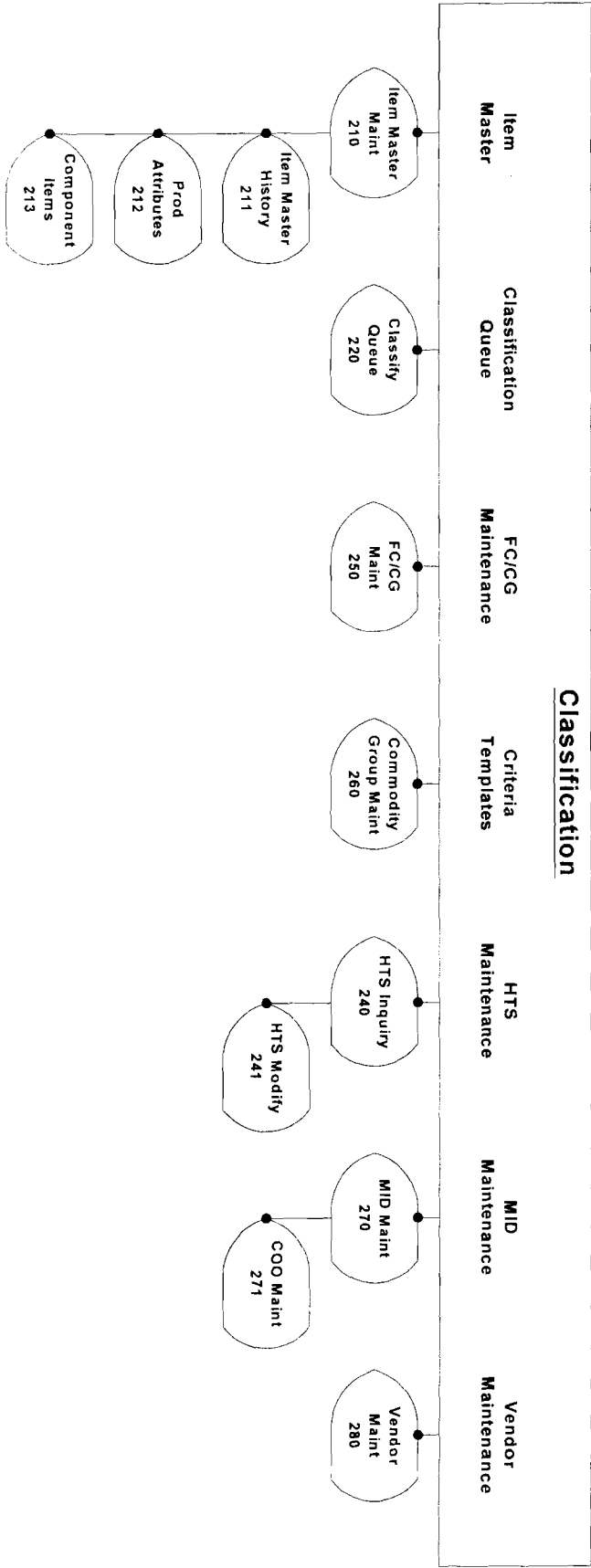


Exhibit 4

HONDA

TRADE COMPLIANCE SYSTEM

CLASSIFICATION

ITEM MASTER ON-LINE MAINTENANCE SPECIFICATION

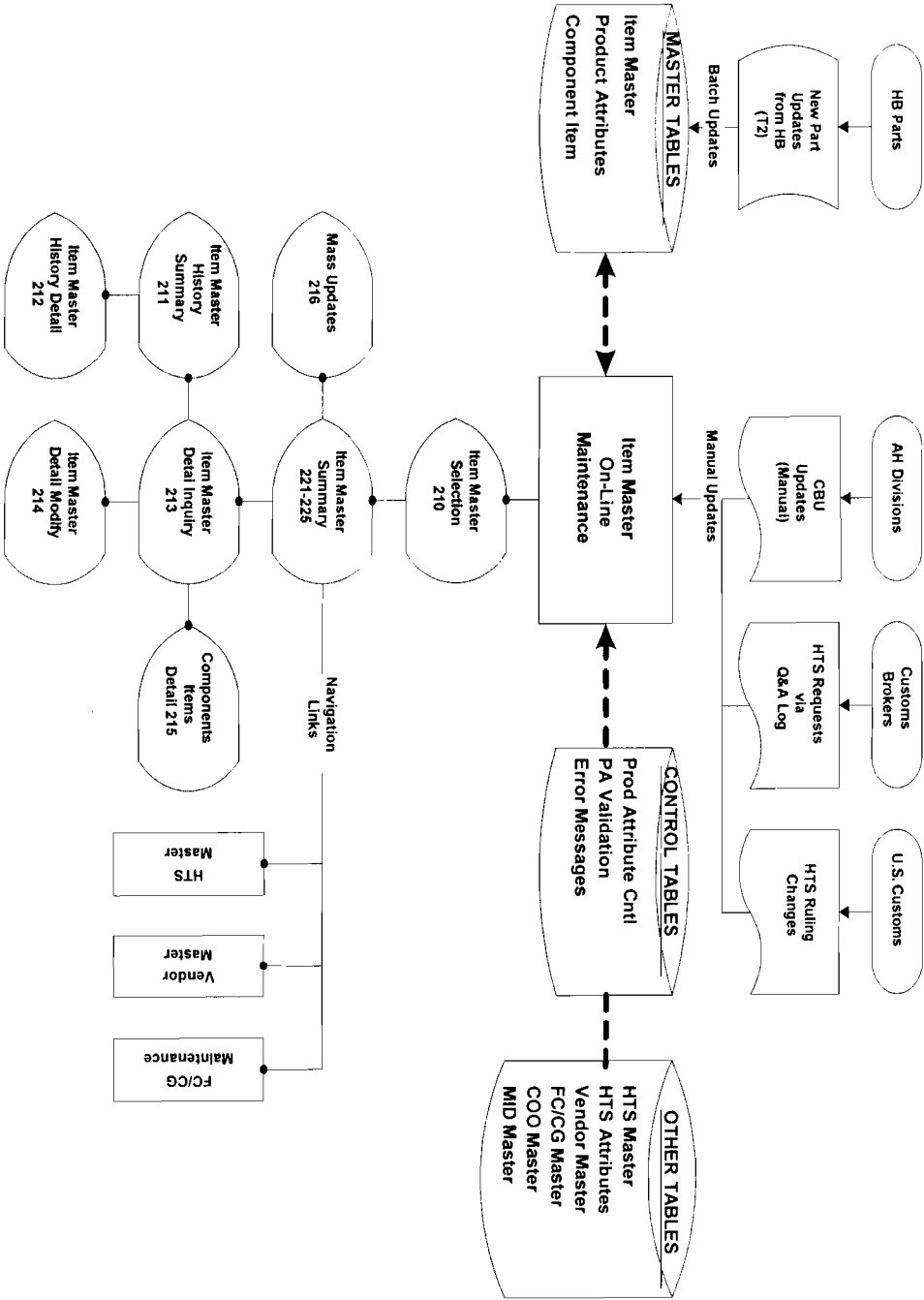
(OVERVIEW)

5/31/02 9:00 AM

TCS Item Master – On-line Maintenance Design Overview

This document is an overview to the TCS Item Master On-line Maintenance Functions. Each maintenance function has a separate document that describes the detail specifications for developing screen mock-ups and application code. Within these functions, Users maintain Item Master records, maintain corresponding supplemental information, or view Item Master history. The following designs are specific to Item Master On-line Maintenance:

- Item Master Selection and Summary screens
- Detail Inquiry and Modify screens (including Product Attributes)
- Item Master History Summary and History Detail screens
- Components Items Detail screen and modify function
- Mass Updates screens



TCS Item Master On-line Features

The Item Master on-line maintenance function allows Users with "Read Only" access authority to view current and historical Item Master records, Product Attribute records, and Component Item records. Users with "Update" access authority may add or modify Item Master records, Product Attribute records, and Component Item records. Users with "Admin" access authority have the same authority as "Update", but may also inactivate Item Master records.

- **Item Master Selection and Summary List**

Item Master records are stored in TFTCS10. The selection screen allows the User to choose from a group of commonly used search criteria combinations and select lists of Item Master records. The selected records are displayed with summary information a page at a time. Each selection group points to a summary list customized for search criteria. Once a summary list is selected, the User may act upon the group of records displayed or re-select another Item Master list.

- **Item Master Detail Inquiry**

The detail inquiry screen displays information for a single Item Master Record, which includes classification data, HB data, and Product Attribute data. Users may select individual Item Master records, one at a time, or navigate to other detail screens. The detail inquiry screen shows the calculated duty for the Item using the Duty Calculation Formula described later in this document. Fields **not** shown in this screen are: HB Part Number (TFTCS10.HB_PART_NO), Edit Mark Code (TFTCS10.PART_NUM_FRMT_CD), Create Date Timestamp (TFTCS10.CRET_TMSTMP_DT), last Update Timestamp (TFTCS10.LAST_UPD_TMSTMP_DT), and Last Update User Name (TFTCS10.LAST_UPD_USER_NM).

- **Item Master Detail Modify**

Users with update authority may navigate to the Item Master Detail Modify screen to add or change detail information stored in TFTCS10. **Item Master records in "Finalized" status are frozen and cannot be changed except for comment fields. The only exception is if the "Finalized" record's Effective Date is the same as or greater than the current system date.** When a "Finalized" record must be changed, the User creates a new row with the Add Like function and the system inserts a new row with a blank status and a new Effective Date set to the current system date. The User may then modify the new row until it is "Finalized". The system will only create a new row if the current Item Master is "Finalized" and the Effective Date is less than the current system date. The Effective Date may be set to a future date by the User, but may never be set to a date prior to the current system date. If the Effective Date is equal to or greater than the current system date, the User may modify the record in the "Finalized" status.

- **Product Attribute Display**

The detail inquiry screen also displays the Product Attribute data stored separately in table TFTCS11. Each Product Attribute type has a unique set of required columns defined in the Product Attribute Control table (TFTCS04). TFTCS04 is used to indicate which columns are enabled for each Product Attribute type. The Product Attribute detail screen displays enabled or disabled columns for each Product Attribute type from TFTCS11 based on the flag settings in TFTCS04. In most cases, an Item will have 0-3 Product Attribute records. In the case where there are more than can fit on the page, a scroll bar can be used to view all the Product Attributes for the Item.

- **Product Attribute Modify**

The detail modify screen allows the User to add, change, or delete Product Attribute rows. Each Product Attribute row is maintained individually. Some Product Attributes have unique validation rules that are controlled by program logic driven by Product Attribute Validation data in TFTCS45 or TFTCS13.

- **Component Item Detail**

The Component Item data is linked to the Item Master records and stored separately on the Component Item table (TFTCS12). Users may view Component Item detail information that supplements an Item Master record. For any Item Master record considered a "kit", a component list of items may

be set up. A component item is simply another Item Master record linked to the "kit" item such as a screw driver is a component of a set of tools. The User may choose to select a component item as an Alternate HTS source for the Master item.

- **Item Master History**

Users may view Item Master history records also stored on table TFTCS10. History records are "Finalized" Item Master records that are no longer in effect (Expired Date not null). The corresponding Product Attribute history records are maintained in table TFTCS11. The Item Master maintenance function allows the User to select an Item Master record and view all previous history records logged in reverse chronological order. Both summary and detail screens are available.

- **Mass Updates**

Users may select a group of Item Master records from one of the summary screens to make changes en masse. The Mass Update function allows the User to select or de-select records from the summary group and performs the same update to all selected records at once. There are volume restrictions that are explained in detail in the specification document.

- **Linked Screens**

HTS Master, FC/CG Maintenance, and Vendor Master screens may be displayed from some of the on-line Item Master screens. In all cases, highlighted fields on the screen link to the corresponding Master screens that display details, such as the HTS code linked to the HTS Master screen.

Main Menu (screen 100)

TCS Main Menu is displayed after successful login. The User then selects "Item Master" to navigate to the Item Master maintenance functions.

Trade Compliance System - Home Page - Microsoft Internet Explorer provided by American Honda Motor ...

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Size Print Go Links

Address http://tcs-dev/menu.asp

Trade Compliance System

WELCOME
Laurie Peach

All tariff codes has been updated as of 3/1/02. The next update will be on the 1st day of December.

System Administration

- System Maintenance
- Product Attribute Control
- Data Transmission

Classification

- Item Master
- FC/OG Tables
- Criteria Template
- Classification Queue
- HTS Maintenance
- MID Master
- Vendor Master

Internal Entry Audits

- Audit Results Reporting
- Audit Results
- Audit Submission
- Payment Exception Queue
- Vendor Payment

Reports

- Management Reports
- Operations Reports
- Customized Reports

Entry History

- Entry History
- Entry Events/Header

Review/Release Queue

- Amendment Group
- Amendment
- Product Adjustment

Home

- US Customs
- Towernet
- US ITC (HTS)
- Customs Info
- QA Log
- User Guide
- FAQ
- Contact Us
- Log Off

HONDA

Tuesday, April 23, 2002

Local intranet

User must have Item Master authority to view and select the Item Master functions.

When the Item Master function is selected, the Item Master Selection page appears.

Item Master HTS Utilization

Where HTS Number is used, validate HTS Number against TFTCS30 or TFTCS31 as a found record, with a valid Effective Date (if appropriate), and in a valid format (XXXX.XX.XX or XXXX.XX.XXXX).

Additional Tariff Required

When an HTS Number is assigned to an Item Master ID, the system will check for Additional Tariff Requirements.

The system will:

- Retrieve the HTS record in TFTCS30.
- Retrieve the Additional Tariff Indicator (TFTCS30.ADD_TRF_FL) for that record.
 - If value = "1", check to see if there is an Alternate HTS Flag in the Component Table (TFTCS12).
 - If the Alternate HTS Flag in TFTCS12 is NOT equal to "Y",
 - display Error Message (# 2141), "Additional Tariff Required"
 - activate the Component Item Detail screen to allow the User to enter component items

Duty Calculation:

To obtain the duty for the current ITEM MASTER ID, we determine which duty equation to use by the Duty Computation Code from the HTS Master record in table TFTCS30. Duty will not be displayed for historic ITEM IDs.

However, there may be an Alternate HTS associated with an ITEM ID, which should be used to read table TFTCS30. This possible Alternate HTS is defined with the components of the ITEM in table TFTCS12 (Component Items). Even if an ITEM ID has multiple components, there should only be one component with an assigned Alternate HTS Flag. Therefore this must be verified prior to establishing the duty equation.

To check for the Alternate HTS, use the Item Master ID in TFTCS10 to search for a matching Item ID in the Component Items table (TFTCS12).

1. If the Item Master ID is not found in TFTCS12, there is no Alternate HTS. Use the HTS Tariff Number (HTS_TRF_NO) from TFTCS10.
2. If the Item Master ID is found in TFTCS12, select the Component ID where the Alternate HTS Flag is equal to "Y" (on" position). If NOT-FOUND, use the HTS Tariff Number (HTS_TRF_NO) from TFTCS10.
3. If there is an Alternate HTS Flag = "Y", use the Component ID from TFTCS12 to obtain the corresponding Item Master ID record in TFTCS10 (effectively re-reading the ITEM Master table with the Component ID). Then use the HTS Tariff Number (HTS_TRF_NO) in the newly found Item ID from TFTCS10.

Now we are ready to retrieve the **Duty Computation Code** (HTS_DUTY_CMPU_CD) from TFTCS30. The code should be from the current HTS Code record. Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE)

The duty equation is based on the just retrieved HTS_DUTY_CMPU_CD, which is stated in Column 1 in the following matrix:

DUTY CMPU CD	NAME	DUTY EQUATION	COMPUTATION DESCRIPTION
0	Free	0.00	No Duty
1	Specific Rate * Q1	$P1 * Q1$	The quantity of the first unit of measure is multiplied by the specific or primary rate
2	Specific Rate * Q2	$P1 * Q2$	The quantity of the second unit of measure is multiplied by the specific or primary rate
3	Multiple Specific	$(P1 * Q1) + (P3 * Q2)$	The quantity of the first unit of measure is multiplied by the specific or primary rate. The quantity of the second unit of measure is multiplied by the other rate usually minimum or other ad valorem. The results are added.
4	Compound (Specific & Ad Valorem)	$(P1 * Q1) + (P2 * \text{Value})$	The quantity of the first unit of measure is multiplied by the specific or primary rate. The value is multiplied by the ad valorem or secondary rate. The results are added.
5	Compound (Specific & Ad valorem)	$(P1 * Q2) + (P2 * \text{Value})$	The quantity of the second unit of measure is multiplied by the specific or primary rate. The value is multiplied by the ad valorem or secondary rate. The results are added.
6	Specific + Compound	$(P1 * Q1) + (P3 * Q2) + (P2 * \text{Value})$	The quantity of the first unit of measure is multiplied by the specific or primary rate. The quantity of the second unit of measure is multiplied by the other rate usually minimum or other ad valorem and the value is multiplied by the ad valorem or secondary rate. The results are added.

TCS Item Master On-line Maintenance Specification

7	Ad Valorem	$P2 \times \text{Value}$	The value is multiplied by the ad valorem or secondary rate.
9	Derived	$P2 \times \text{Derived Duty}$	The duty is obtained from a computation on another tariff number. The other tariff rate is multiplied by the ad valorem or secondary rate to obtain the derived duty.
A	Functional Ad Valorem	$(P2 + P3 \times Q3) \times \text{Value}$	The quantity of the third unit of measure is multiplied by the other rate usually minimum or other ad valorem. The result is added to the ad valorem or secondary rate. The value is multiplied by the results of the above computation.
B	Specific Functional Ad valorem	$(P1 \times Q2) + (P2 + P3 \times Q3) \times \text{Value}$	The quantity of the second unit of measure is multiplied by the specific or primary rate. The quantity of the third unit of measure is multiplied by the other rate usually minimum or other ad valorem and added to the ad valorem or secondary rate. The value is multiplied by the results of the above computation.
C	Specific/Specific	$(P1 \times Q1)$ or $(P2 \times Q1)$	The quantity of the first unit of measure is multiplied by the primary rate or the secondary rate. The user must determine which of the two rates is correct.
D	Compound (Specific + Ad Valorem)	$(P1 \times Q3) + (P2 \times \text{Value})$	The quantity of the third unit of measure is multiplied by the specific or primary rate. The value is multiplied by the ad valorem or secondary rate. The results are added.
E	Specific + Compound	$(P1 \times Q2) + (P3 \times Q3) + (P2 \times \text{Value})$	The quantity of the second unit of measure is multiplied by the specific or primary rate. The quantity of the third unit of measure is multiplied by the other rate usually minimum or other ad valorem. The value is multiplied by the ad valorem or secondary rate. The results are added.
F	Specific/Pyrotechnics	$Q1 \times (P1 + P3 \times Q2)$	The quantity of the second unit of measure is multiplied by the other rate usually minimum or other ad valorem and added to the specific or primary rate. The result is multiplied by the first unit of measure.
J	Specific/Sugar	Greater of $Q2 \times (P1 - P2 \times (100 - Q3))$ or $P3 \times Q2$	The greater of two separate computations is used: 1) The difference of 100 minus the quantity of the third unit of measure multiplied by the ad valorem or secondary rate and the result is subtracted from the primary or specific rate and this result is multiplied by the quantity of the second unit of measure. 2) The quantity of the second unit of measure is multiplied by the other rate usually minimum or other ad valorem.
K	Specific/Sugar	Greater of $Q1 \times (P1 - P2 \times (100 - Q2))$ or $P3 \times Q1$	The greater of two separate computations is used: 1) The difference of 100 minus the quantity of the second unit of measure multiplied by the ad valorem or secondary rate and the result is subtracted from the primary or specific rate and this result is multiplied by the quantity of the first unit of measure. 2) The quantity of the first unit of measure is multiplied by the other rate usually minimum or other ad valorem.
X		No computation formula available	Refer to the Tariff Schedule for duty computation procedures.

The elements in the algebraic Duty Equation are described below:

ELEMENT	DESCRIPTION	TFTCS30 SOURCE ATTRIBUTE	TFTCS31 SOURCE ATTRIBUTE
P1	Indicates specific or primary rate	RATE_SPEC_AM01	RATE_SPCL_SPEC_AM
P2	Indicates ad valorem or secondary rate	RATE_ADVAL_AM01	RATE_SPCL_ADVAL_AM
P3	Indicates other rate usually minimum or other ad valorem	RATE_OTHER_AM01	RATE_SPCL_OTHER_AM
Q1	Indicates the 1st unit of measure	UNIT_MESR_CD01	N/A
Q2	Indicates the 2nd unit of measure	UNIT_MESR_CD02	N/A
Q3	Indicates the 3rd unit of measure	UNIT_MESR_CD03	N/A

The sources of the Duty Rate elements stated in the above matrix specify two HTS database tables:

- TFTCS30 – HTS Master where the Column 1 rates are stored
- TFTCS31 – HTS Attributes where the Special Program rates are stored.

TCS will not display Column 2 duty rates.

The application of Special Program rates, rather than Column 1 rates, is further determined by the setting of Special Program Indicators (SPGI) in the Product Attributes table (TFTCS11). The three SPGI used are NAFTA(CA), NAFTA(MX), and GSP.

Thus, table TFTCS11 is read with the following criteria:

- Matching Item Master ID and Item Effective Date to table TFTCS10.
- Matching SPGI Attribute types (any or all, as NAFTA(CA), NAFTA(MX), or GSP)
- Having the Certificates-On-File' flags set to 'Y' for any of the three attribute types.

If there are NO matching TFTCS11 records retrieved,

Column 1 duty rates (specific, ad valorem, and other) from table TFTCS30 are applied.

If there are matching records from TFTCS11, reading table TFTCS31 will establish the special program rate, as follows:

1. When Product Attribute Type = "GSP" and DCMT_ON_FILE_FL = "Y",
find the special rates in TFTCS31
where TFTCS31.HTS_TRF_NO = TFTCS10.HTS_TRF_NO
and TFTCS31.HTS_AIR_TYP_CD = "SPGI"
and TFTCS31.HTS_AIR_CD = "A" or "A*" or "A+".
upon successful retrieval of the matching TFTCS31, the special rates will be used in the Duty Equation:
TFTCS31.RATE_SPCL_SPEC_AM = the P1 element in the equation
TFTCS31.RATE_SPCL_ADVAL_AM = the P2 element in the equation
TFTCS31.RATE_SPCL_OTHER_AM = the P3 element in the equation.

2. When TFTCS11.PROD_ATR_CD = 'NAFTA(CA)
- | | |
|------------------------------|-----------------|
| AndTFTCS11.DCMT_ON_FILE_FL | = "O", |
| AndTFTCS11.PROD_ATR_EFF_DT | <= CURRENT DATE |
| AndTFTCS11.PROD_ATR_EXPIR_DT | >= CURRENT DATE |
- find the special rates in TFTCS31
- | | |
|----------------------------|----------------------|
| where TFTCS31.HTS_TRF_NO | = TFTCS10.HTS_TRF_NO |
| and TFTCS31.HTS_ATR_TYP_CD | = "SPGI" |
| and TFTCS31.HTS_ATR_CD | = "CA". |
- upon successful retrieval of the matching TFTCS31, the special rates will be used in the Duty Equation:
- | | |
|----------------------------|-----------------------------------|
| TFTCS31.RATE_SPCL_SPEC_AM | = the P1 element in the equation |
| TFTCS31.RATE_SPCL_ADVAL_AM | = the P2 element in the equation |
| TFTCS31.RATE_SPCL_OTHER_AM | = the P3 element in the equation. |
3. When TFTCS11.PROD_ATR_CD = 'NAFTA(MX)
- | | |
|------------------------------|-----------------|
| AndTFTCS11.DCMT_ON_FILE_FL | = "O", |
| AndTFTCS11.PROD_ATR_EFF_DT | <= CURRENT DATE |
| AndTFTCS11.PROD_ATR_EXPIR_DT | >= CURRENT DATE |
- find the special rates in TFTCS31
- | | |
|----------------------------|----------------------|
| where TFTCS31.HTS_TRF_NO | = TFTCS10.HTS_TRF_NO |
| and TFTCS31.HTS_ATR_TYP_CD | = "SPGI" |
| and TFTCS31.HTS_ATR_CD | = "MX". |
- upon successful retrieval of the matching TFTCS31, the special rates will be used in the Duty Equation:
- | | |
|----------------------------|-----------------------------------|
| TFTCS31.RATE_SPCL_SPEC_AM | = the P1 element in the equation |
| TFTCS31.RATE_SPCL_ADVAL_AM | = the P2 element in the equation |
| TFTCS31.RATE_SPCL_OTHER_AM | = the P3 element in the equation. |
4. If there is NO matching TFTCS31 Special Rate records retrieved,
Column 1 duty rates (specific, ad valorem, and other) from table TFTCS30 are applied.

Unit of Measure

The Unit of Measure 1 and Unit of Measure 2 are associated with the HTS Code record found in TFTCS30. If there is an Alternate HTS Number maintained for an Item Master ID, the Unit(s) of Measure will be determined from the HTS Tariff Number rather than the Alternate HTS number. There may be no Units of Measure for an HTS Tariff record.

To determine these, the system will:

- Retrieve the HTS Tariff Number (HTS_TRF_NO) in TFTCS10,
- Retrieve (find) the matching (number and Effective Date) record in TFTCS30,
- Retrieve the FIRST UNIT OF MEASURE (UNIT_MESR_CD01) and SECOND UNIT OF MEASURE (UNIT_MESR_CD02) (if found).

OGA Edit Check

When an HTS Number is assigned to an Item Master ID, the system will check for OGA Requirements. If the Item Master ID has an Alternate HTS, the OGA edit check is performed using the Alternate HTS instead of the HTS Tariff Number.

The system will check for an Alternate HTS. To check for the Alternate HTS, use the Item Master ID in TFTCS10 to search for a matching Item Master ID in the Component Items table (TFTCS12).

1. If the Item Master ID is NOT found in TFTCS12, there is no Alternate HTS.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31.
 - Retrieve (find) the HTS ATTRIBUTE CODE (TFTCS31.HTS_ATR_CD) for the HTS Code record in TFTCS31. The system will display the following Warning Messages for the following Codes found:

If TFTCS31.HTS_ATR_CD is equal to:	
• "DT1", display "DOT May Be Required"	[Error Message # 2111]
• "DT2", display "DOT Is Required"	[Error Message #2112]
• "FC3", display "FCC May Be Required"	[Error Message # 2113]
• "FC4", display "FCC Is Required"	[Error Message # 2114]
• "FD1", display "FDA May Be Required"	[Error Message # 2115]
• "FD2", display "FDA Is Required"	[Error Message # 2116]
2. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If NOT found, there is no Alternate HTS Number.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31.
 - Retrieve (find) the HTS ATTRIBUTE CODE (TFTCS31.HTS_ATR_CD) for the HTS Code record in TFTCS31. The system will display the following Warning Messages for the following Codes found:

If TFTCS31.HTS_ATR_CD is equal to:	
• "DT1", display "DOT May Be Required"	[Error Message # 2111]
• "DT2", display "DOT Is Required"	[Error Message #2112]
• "FC3", display "FCC May Be Required"	[Error Message # 2113]
• "FC4", display "FCC Is Required"	[Error Message # 2114]
• "FD1", display "FDA May Be Required"	[Error Message # 2115]
• "FD2", display "FDA Is Required"	[Error Message # 2116]

OGA Edit Check (CONT)

3. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If found,
- Use the Component ID from TFTCS12 to obtain the corresponding Item Master ID record in TFTCS10 (effectively re-reading the ITEM Master table with the Component ID).
 - Use the HTS Tariff Number (HTS_TRF_NO) in the newly found Item ID from TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31.
 - Retrieve (find) the HTS ATTRIBUTE CODE (TFTCS31.HTS_ATTR_CD) for the HTS Code record in TFTCS31. The system will display the following Warning Messages for the following Codes found:
 - If TFTCS31.HTS_ATTR_CD is equal to:
 - "DT1", display "DOT May Be Required" [Error Message # 2111]
 - "DT2", display "DOT Is Required" [Error Message #2112]
 - "FC3", display "FCC May Be Required" [Error Message # 2113]
 - "FC4", display "FCC Is Required" [Error Message # 2114]
 - "FD1", display "FDA May Be Required" [Error Message # 2115]
 - "FD2", display "FDA Is Required" [Error Message # 2116]

ADD and CVD Edit Check

When an HTS Number is assigned to an Item Master ID, the system will check for ADD or CVD Requirements. If the Item Master ID has an Alternate HTS, the ADD and CVD edit check is performed using the Alternate HTS instead of the HTS Tariff Number.

The system will check for an Alternate HTS. To check for the Alternate HTS, use the Item Master ID in TFTCS10 to search for a matching Item Master ID in the Component Items table (TFTCS12).

1. If the Item Master ID is NOT found in TFTCS12, there is no Alternate HTS.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve (find) the COUNTERVAILING DUTY INDICATOR (CNTRVAL_DUTY_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "CVD May Be Applicable." [Error Message # 2121]
 - Retrieve (find) the ANTIDUMPING INDICATOR (ADMP_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "ADD May Be Applicable." [Error Message # 2122]
2. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If NOT found, there is no Alternate HTS Number.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - retrieve (find) the COUNTERVAILING DUTY INDICATOR (CNTRVAL_DUTY_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "CVD May Be Applicable." [Error Message # 2121]
 - Retrieve (find) the ANTIDUMPING INDICATOR (ADMP_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "ADD May Be Applicable." [Error Message # 2122]
3. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If found,
 - Use the Component ID from TFTCS12 to obtain the corresponding Item Master ID record in TFTCS10 (effectively re-reading the ITEM Master table with the Component ID).
 - Use the HTS Tariff Number (HTS_TRF_NO) in the newly found Item ID from TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - retrieve (find) the COUNTERVAILING DUTY INDICATOR (CNTRVAL_DUTY_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "CVD May Be Applicable." [Error Message # 2121]
 - Retrieve (find) the ANTIDUMPING INDICATOR (ADMP_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "ADD May Be Applicable." [Error Message # 2122]

Quota and Visa Edit Check

When an HTS Number is assigned to an Item Master ID, the system will check for Quota and Visa Requirements. If the Item Master ID has an Alternate HTS, the Quota and Visa edit check is performed using the Alternate HTS instead of the HTS Tariff Number.

The system will check for an Alternate HTS. To check for the Alternate HTS, use the Item Master ID in TFTCS10 to search for a matching Item Master ID in the Component Items table (TFTCS12).

1. If the Item Master ID is NOT found in TFTCS12, there is no Alternate HTS.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve (find) the QUOTA INDICATOR (QUOT_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "Quota May Be Applicable." [Error Message # 2131]
 - Retrieve (find) the VISA CATEGORY NUMBER (VISA_CTYG_NO) for the HTS Code record in TFTCS30. If value is not equal to "blank", display Warning Message "Visa May Be Required". [Error Message # 2132]
2. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If NOT found, there is no Alternate HTS Number.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - retrieve (find) the QUOTA INDICATOR (QUOT_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "Quota May Be Applicable." [Error Message # 2131]
 - Retrieve (find) the VISA CATEGORY NUMBER (VISA_CTYG_NO) for the HTS Code record in TFTCS30. If value is not equal to "blank", display Warning Message "Visa May Be Required". [Error Message # 2132]
3. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If found,
 - Use the Component ID from TFTCS12 to obtain the corresponding Item Master ID record in TFTCS10 (effectively re-reading the ITEM Master table with the Component ID).
 - use the HTS Tariff Number (HTS_TRF_NO) in the newly found Item ID from TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - retrieve (find) the QUOTA INDICATOR (QUOT_FL) for the HTS Code record in TFTCS30. If value = "1", display Warning Message "Quota May Be Applicable." [Error Message # 2131]
 - Retrieve (find) the VISA CATEGORY NUMBER (VISA_CTYG_NO) for the HTS Code record in TFTCS30. If value is not equal to "blank", display Warning Message "Visa May Be Required". [Error Message # 2132].

SPGI Product Attribute Edit Check

When a Special Program (SPGI) Product Attribute ("GSP", "NAFTA(CA)", and "NAFTA(MX)" is assigned to an Item Master ID (added to TFTCS11), the system will check the SPGI Product Attribute against the HTS Table (TFTCS31) to ensure that the Special Program is eligible for the HTS Tariff Number assigned. If the Item Master ID has an Alternate HTS, the SPGI edit check is performed using the Alternate HTS instead of the HTS Tariff Number.

GSP:

If a Product Attribute Type = "GSP", the system will check for an Alternate HTS. To check for the Alternate HTS, use the Item Master ID in TFTCS10 to search for a matching Item Master ID in the Component Items table (TFTCS12).

1. If the Item Master ID is NOT found in TFTCS12, there is no Alternate HTS.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "A", "A*", or "A+".
 - If not found, display Error Message # 2151.
2. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If NOT found, there is no Alternate HTS Number.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "A", "A*", or "A+".
 - If not found, display Error Message # 2151.
3. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If found,
 - Use the Component ID from TFTCS12 to obtain the corresponding Item Master ID record in TFTCS10 (effectively re-reading the ITEM Master table with the Component ID).
 - Use the HTS Tariff Number (HTS_TRF_NO) in the newly found Item ID from TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31.
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "A", "A*", or "A+".
 - If not found, display Error Message # 2151.

NAFTA(CA):

If a Product Attribute Type = "NAFTA(CA)", the system will check for an Alternate HTS. To check for the Alternate HTS, use the Item Master ID in TFTCS10 to search for a matching Item Master ID in the Component Items table (TFTCS12).

1. If the Item Master ID is NOT found in TFTCS12, there is no Alternate HTS.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "CA".
 - If not found, display Error Message # 2151.
2. If a matching Item Master ID is found in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If NOT found, there is no Alternate HTS Number.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "CA".
 - If not found, display Error Message # 2151.
3. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If found,
 - Use the Component ID from TFTCS12 to obtain the corresponding Item Master ID record in TFTCS10 (effectively re-reading the ITEM Master table with the Component ID).
 - Use the HTS Tariff Number (HTS_TRF_NO) in the newly found Item ID from TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31.
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "CA".
 - If not found, display Error Message # 2151.

NAFTA(MX):

If a Product Attribute Type = "NAFTA(MX)", the system will check for an Alternate HTS. To check for the Alternate HTS, use the Item Master ID in TFTCS10 to search for a matching Item Master ID in the Component Items table (TFTCS12).

1. If the Item Master ID is NOT found in TFTCS12, there is no Alternate HTS.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "MX".
 - If not found, display Error Message # 2151.
2. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If NOT found, there is no Alternate HTS Number.
 - Use the HTS Tariff Number (HTS_TRF_NO) in TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "MX".
 - If not found, display Error Message # 2151.
3. If a matching Item Master ID in TFTCS10 is found in TFTCS12, find a Component ID in TFTCS12 where the Alternate HTS Flag in TFTCS12 is equal to "Y" ('on' position). If found,
 - Use the Component ID from TFTCS12 to obtain the corresponding Item Master ID record in TFTCS10 (effectively re-reading the ITEM Master table with the Component ID).
 - Use the HTS Tariff Number (HTS_TRF_NO) in the newly found Item ID from TFTCS10 to find the current HTS CODE (HTS_TRF_NO) in TFTCS30. Current HTS is defined as: (HTS_EFF_DT <= CURRENT DATE) and (HTS_EXPIR_DT >= CURRENT DATE).
 - Retrieve the matching HTS CODE (HTS_TRF_NO) in TFTCS31 where TFTCS31.HTS_ATR_TYP_CD = "SPGI" and where TFTCS31.HTS_ATR_TYP_CD = "MX".
 - If not found, display Error Message # 2151.

Exhibit 5

HONDA

TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

RECONCILIATION EXCEPTION DETAIL SCREEN/PAGE DETAIL DESIGN DOCUMENT

6/04/02

TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

Table of Contents

1.0	DOCUMENT HISTORY & REVISIONS.....	3
1.1	PURPOSE	3
1.2	OVERVIEW	3
1.3	SCREEN NAVIGATION.....	4
1.4	SCREEN/PAGE LAYOUT	5
1.5	CONTROLS AVAILABLE ON THE HEADER SECTION SCREEN/PAGE	6
1.6	CONTROLS AVAILABLE ON THE DETAIL SECTION SCREEN/PAGE	7
1.7	COMMAND AVAILABLE ON THE SCREEN/PAGE.....	7
1.8	MESSAGES.....	7
1.9	LOGIC.....	9

TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

1.0 Document History & Revisions

File Name	g:\ahmf\Customs Support\TCAIRS\Specs\Programs\on line\TCAIRS Recon exception Detail.doc		
Version	Date	Author(s)	Revision Notes/Comments
1.0	06/04/02	TCS CAIRS TEAM	

1.1 Purpose

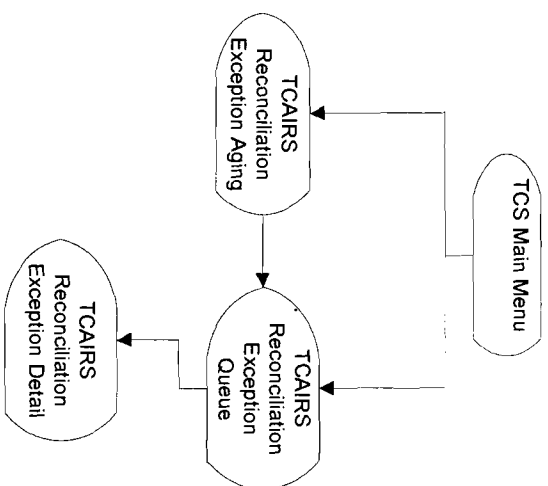
The purpose of this document is to provide the detail design of the Reconciliation Exception Detail Page/screen for TCS Canadian Auto Import Reconciliation system (TCAIRS).

1.2 Overview

The purpose of this program is to display the TCAIRS exception detail page/screen and allow the user to change the status of the exceptions. The user will use this screen/page to see the exceptions at detail (VIN) level and start the analysis to find out the reason of exceptions. This screen/page will allow the user to change the exceptions status at Manifest/Entry level or at VIN level. This page can be accessed from TCAIRS Reconciliation Exception Queue page.


TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

1.3 Screen Navigation



TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

1.4 Screen/Page Layout


HONDA

[Home](#) | [Sys Admin](#) | [Classification](#) | [Entry Hist](#) | [Amendments](#) | [Audit](#) | [Reports](#) | [CAIRS](#) | [Contact](#) | [Log Off](#)

Canadian Auto Import > Recon Exception Queue > Recon Exception Detail

[Recon Exception Aging](#) | [Recon Historical Summary](#) | [Carrier Update](#)

Manifest #	052147	Reconciliation Exception Detail	Entry #	376034
Port Of Entry		Carrier Code	CPRS	Rail Car #
Import Date		Export Date	5/29/2002	Entry Date
Shipping Date	5/29/2002	Arrival Date		Exception Type
Recon All As				Shipping

Recon As	VN	Model	Value	Quantity	Comments
2HKT18463H50034	YF184KL	22885	1		
2HNVD18612H530766	YD186KA	26112	1		
2HNVD1862H530792	YD186KA	26112	1		
2HNVD18902H530811	YD189KA	27398	1		

[Home](#) | [Sys Admin](#) | [Classification](#) | [Entry Hist](#) | [Amendments](#) | [Audit](#) | [Reports](#) | [CAIRS](#) | [Contact](#) | [Log Off](#)

TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

1.5 Controls available on the Header section screen/page

CONTROL	FUNCTION	COLUMN NAME	SOURCE	COMMENTS
1	Manifest Number Enabled = No, Display only	MANFST	Query String	The Manifest number received as parameters (query string).
2	Entry Number Link to Entry Detail page for Entry type of exception	ENTR	Query String	Entry number received as parameters (query string). This will be displayed as link to entry detail page. More information on this is awaited from Entry History Team
3	Invoice Number Enabled = No, Display only	SHIP_INVNC_NO	TFTCSC4	Invoice number from exception table of the matching record for manifest/entry number.
4	Port of Entry Enabled = No, Display only	ENTR_PORT_CD	TFTCSC4	Port of entry number from exception table of the matching record for manifest/entry number.
5	Carrier Code Enabled = No, Display only	CRR_CD	TFTCSC4	Carrier Code from exception table of the matching record for manifest/entry number.
6	In Bond Number Enabled = No, Display only	IN_BOND_NO	TFTCSC4	In Bond number from exception table of the matching record for manifest/entry number.
7	Rail Car Id Enabled = No, Display only	RAIL_CAR_SER_NO	TFTCSC4	Rail car number from exception table of the matching record for manifest/entry number.
8	Import Date Enabled = No, Display only	IMPT_DT	TFTCSC4	The date of import from exception table of the matching record for manifest/entry number. Display as MM/DD/CCYY
9	Export Date Enabled = No, Display only	EXPT_DT	TFTCSC4	The date of export from exception table of the matching record for manifest/entry number. Display as MM/DD/CCYY
10	Entry Date Enabled = No, Display only	ENTR_DT	TFTCSC4	The date of entry from exception table of the matching record for manifest/entry number. Display as MM/DD/CCYY
11	Shipping Date Enabled = No, Display only	SHIP_INVNC_DT	TFTCSC4	The Shipping date from exception table of the matching record for manifest/entry number. Display as MM/DD/CCYY
12	Arrival Date Enabled = No, Display only	ARR_DT	TFTCSC4	The Arrival date from exception table of the matching record for manifest/entry number. Display as MM/DD/CCYY
13	Recon All As Enabled = Yes, Combo Box with standard Flag values - (Blank; Shipping Add(SA), Shipping Deduct(SD), Entry Add(EA), Entry Deduct(ED), General Recon(GR))	RECON_ACTN_CD	TFTCSC4	The combo box will be loaded with the given value and the exception table will be updated with the selected value on the click of Update button/control. All the VINS under the selected manifest/entry will be updated with same flag value. If this flag is selected by the user then flag selected at detail (VIN) level will be ignored. It will be defaulted to blank display.
14	Exception Type Enable = No, Display Only	ERRTYPE	Query String	If ERRTYPE = "E" then "Entry" or if ERRTYPE="S" then "Shipping" will be displayed here.
15	Comments Enabled = Yes	RECON_CMNT_TX	TFTCSC4	User will write comments here and will be updated in the exception table on the click of Update button. All the VINS under the selected manifest/entry will be updated with same comments value. If user writes comment in this text area then comments at detail (VIN) level will be ignored.

TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

1.6 Controls available on the Detail section screen/page

CONTROL	FUNCTION	COLUMN NAME	SOURCE	COMMENTS
1 Recon As	Enabled = Yes, Combo Box with standard Flag values – (Blank; Shipping Add(SA), Shipping Deduct(SD), Entry Add(EA) Entry Deduct(ED), General Recon(GRI))	RECON_ACTN_CD	TFTCSC4 E	The combo box will be loaded with the given value and the exception table will be updated with the selected value on the click of Update button/control. It will be defaulted to the description of the code from exception (TFTCSC4) table. For example, if exception table contains "SA" for the VIN then it will display "Shipping Add" in the comb as the selected choice.
2 VIN	Enabled = No, Display Only	SER_ID_NO	TFTCSC4	The VIN from exception table of the matching record for manifest/entry number.
3 Model	Enabled = No, Display Only	VIN_MDL_TYP + MDL_EMSN_TYP_CD	TFTCSC4	The Model and Type from exception table of the matching record for manifest/entry number.
4 Value	Enabled = No, Display Only	INVC_UNIT_PRICE_AM	TFTCSC4	The Price of VIN from exception table of the matching record for manifest/entry number.
5 Quantity	Enabled = No, Display Only	PKG_CNT_NP	TFTCSC4	The Quantity from exception table of the matching record for manifest/entry number.
6 Comments	Enabled = Yes	RECON_CMNT_TX	TFTCSC4	User will write comments here and will be updated in the exception table on the click of Update button.

1.7 Command available on the screen/page

COL	CONTROL	FUNCTION	SOURCE	COMMENTS
1	Update	Enabled = Yes, Command Button	DETAIL SCREEN	Update button allows user to update the exception status and comments for the selected manifest/entry.
2	Entry Detail	Enabled = Yes, Link	HEADER SCREEN	This Link allows user to see the entry details of the selected entry. The screen to display the entry detail is part of entry history group. This link will be available only for Entry type of exception. In case if Shipping type exception this link will not be displayed as the Entry number will not be available
3	Exception Aging	Enabled = Yes, Command Button	DETAIL SCREEN	This button allows user to go to Exception aging page (tcairsreconage.asp) directly from here.
4	Back	Enabled = Yes, Command Button	DETAIL SCREEN	This button allows user to go to parent screen/page

1.8 Messages

Message No	Text	COMMENTS
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TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

0106	Records Successfully Updated	User selected the Update command and exception status is successfully updated
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TCS CANADIAN AUTO IMPORT RECONCILIATION SYSTEM

1.9 Logic

- This page will be invoked from "Reconciliation Exception Queue page"
- The Manifest number and Entry Number will be received in the Query String (MNFTST, ENTR) from the Calling page.
- If nothing is passed in then error message should be displayed to user and no data will be shown on the page.
- The Header part of the screen will be populated with the data for the Manifest or Entry Number received as parameter
- IFERRTYPE (received as parameter in Query string) is "E" then "Entry" or if ERRTYPE="S" then "Shipping" will be displayed in this control
- All VINs belonging to the Manifest or Entry number will be listed in the detail section of the screen
- If user changes the reconciliation flag at header level and hits Update command then all the VINs under the selected manifest/entry will be updated with the chosen flag (i.e. SA, SD, EA, ED or GR) and comments. The records will be marked as reconciled by updating the reconciliation completion date (RECON_CMPLT_DT) with current date in Exception (TFTCSC4) and Shipping Detail (TFTCSC2) tables.
- There might not be matching record in the shipping detail (TFTCSC2) table for the exceptions. If it is so then only reconciliation completion field of exception table will be updated with current time stamp
- The same logic will be used if user changes the reconciliation flag in detail section but the flag and comments will be updated with the data against each VIN in the detail section of the screen
- The message will be displayed to the user after updating the records successfully
- On the click of "Entry Number" link the manifest number and entry number will be passed in the query string to entry detail page that will be invoked in new windows (**This is to be finalized with Entry History Team**)
- On the click of "Exception Aging" button the exception aging page (tcairsreconerrage.asp) will be invoked

Exhibit 6

HONDA

TRADE COMPLIANCE SYSTEM

VENDOR MASTER SCREEN DESIGN SPECIFICATION

7/9/2002

COO Design Overview

Module Name –COO(Country of Origin)

The COO Maintenance Feature is a subsystem of the Classification/MID(Manufacture Identification) module. This document describes the functionality and design for the COO Table and Screens.

- ☐ Online Pages to Add,Inquire and Modify COO Details
- ☐ Processing Logic to Add,Inquire and Modify COO Details

COO Features:

The COO Page is available to the user by clicking the COO link in **MID Master** Page. When the page is being loaded, the system uses the security parameters to determine viewing and updating capabilities for the User. If the User does not have access authority, then the system will not display the function. Access Authority rules are determined by the Systems Administrator.

The following are the list of functions that are available to the user for the COO Maintenance Screen.

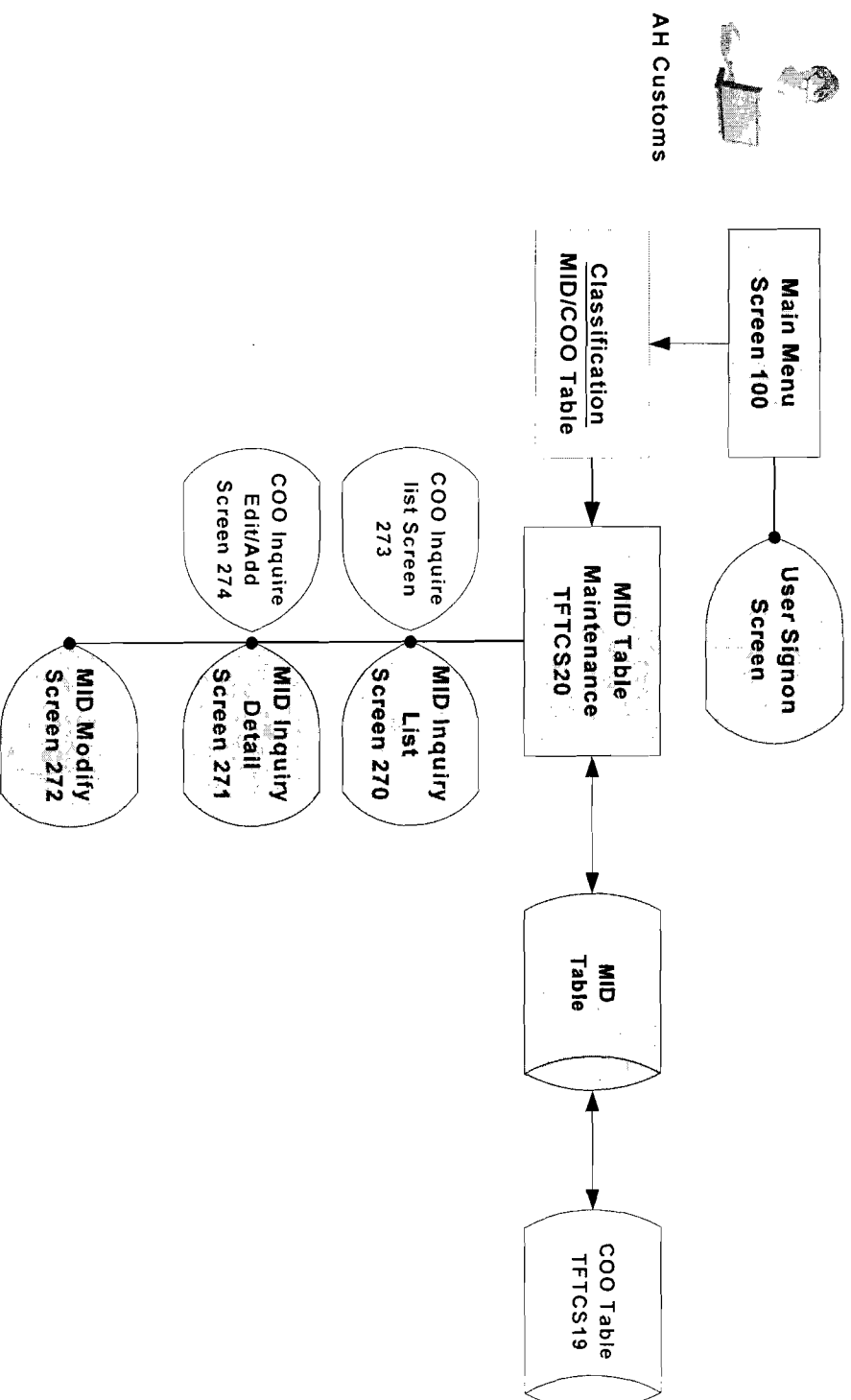
- **Add**
The user can add COO Name. Only the users who have the add authority can add records.
- **Update**
The user can modify the existing COO Name.Only the users who have the Update authority can view this Page and update the record.
- **Inquiry**
If the user has "Read-Only" Authority, then he can view only COO Inquire List Screen(Screen -273)

Data Volume:

Estimated Size : 50 rows

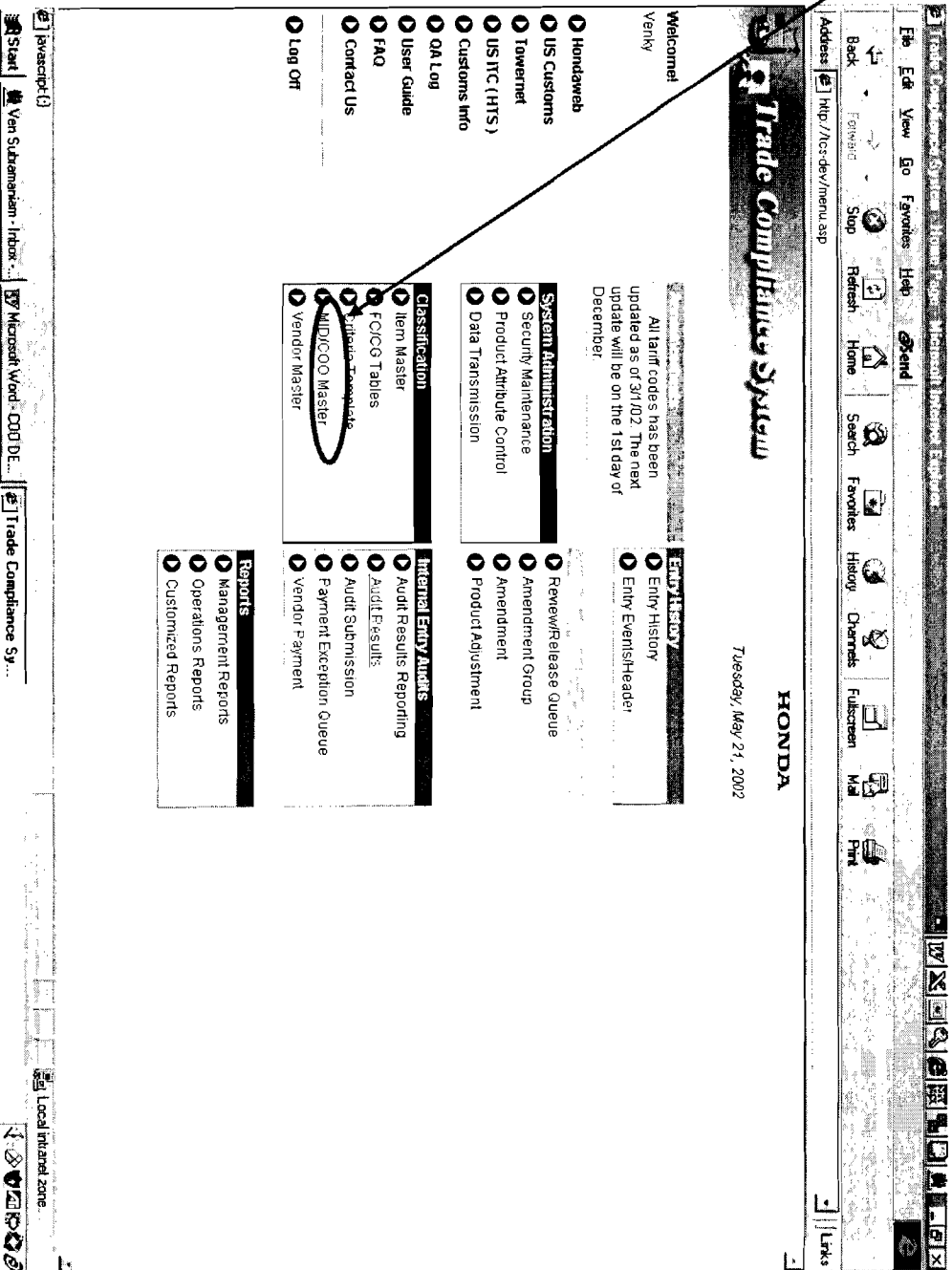
Retention : 3 years

COO Table - Design Flow



TCS Main Menu

Description: In order to perform COO from the TCS Main Menu, the user will first select MID/COO Master Link. Then he will click the COO link that is present in MID Master Page.



COO – COO Inquiry List Screen(screen 273)

COO Inquiry List screen is the default screen that is displayed when the user with "Read-Only" authority clicks the COO link in MID Master Page. This page displays all the Country Name and the Corresponding country codes and the Active Flag.

Display the current date in Month Day, Year

The Character links are used to get Country Names in ascending order starting with that character.

Scroll to view the Previous and Next set of Country Names

MID Master: Click on this link will take you to MID Master Page
Cancel: Click on this link will take you to the Parent Page.

Trade Compliance System

Home | Entry History | Amendments | Internal Entry Audits | Reports | FAQ | Contact Us | London

Classification > COO

Item Master | Criteria Template | Service Parts Queue | Non-Service Parts Queue | HTS Inquiry | Vendor Master

Country Name	Country Code	Active
Cambodia	CD	Y
Chad	CH	N
Chile	CL	N
Colombia	CO	Y
Congo(Kinshasa)	CK	N
Czech Republic	CR	N
Congo(Brazzaville)	CB	Y
Croatia	CT	N
Cote d'Ivoire	CE	Y

Navigation: [Previous](#) | [Next](#)

Buttons: [MID Master](#) [Cancel](#)

Footer: Item Master | FIC/CG Tables | Criteria Template | Classif. Queue | HTS Maint | MID/COO | Vendor Master
 Home | Entry History | Amendments | Internal Entry Audits | Reports | FAQ | Contact Us | Log Off

COO Listing :

Control No	Desc	Column	Source	Possible Values	COMMENTS
1	The Character links are used to get Country Names starting with that character	CRTY_NM	TFTCS19		
2	The Country names will be listed in the List Box in alphabetical order.	CRTY_NM	TFTCS19		User can view all the Country Names that are starting with the Character selected

COO Inquiry Grid

Grid display contains vertical scroll bar. The rows are sorted by Country Name.

COL	COLUMN NAME	FUNCTION	DB2 NAME	SOURCE	VALUES	COMMENTS
1	COUNTRY NAME		CRTY_NM	TFTCS19		Enabled = No Display only
2	COUNTRY CODE		ISO_COO_CD	TFTCS19		Enabled = No Display only
3	ACTIVE FLAG		ACTV_FL	TFTCS19		Enabled = No Display only

COO – Inquire Edit (screen 274)

COO Inquiry Edit screen is the default screen that is displayed when the user with "Update" authority clicks the COO link in MID Master Page. This page displays all the Country Name and the Corresponding country codes and the Active Flag. The user through this Page can either add a new COO details or modify existing Country details. When an new COO is added, the Active Flag is defaulted to "Y".

The screenshot shows the 'Trade Compliance System' interface. At the top, there are navigation links: Home | Entry History | Amendments | Internal Entry Audits | Reports | FAQ | Contact Us | Log Off. Below this is a search bar and a list of links: Item Master | Criteria Template | Service Parts Queue | Non-Service Parts Queue | HTS Inquiry | Vendor Master. A dropdown menu is open showing a list of countries: Cambodia, Chad, Chile, Colombia, Congo(Kinshasa), Czech Republic, Congo(Brazzaville), and Croatia. A table below the dropdown lists country codes and active flags. At the bottom, there are buttons for 'MID Master', 'Cancel', 'Previous', and 'Next'.

Annotations:

- Display the current date in Month Day, Year**: Points to the date field at the top right.
- Display the current date in Month Day, Year**: Points to the date field at the top right.
- Click on this link will allow the user to modify COO details**: Points to the 'Country Name' dropdown menu.
- Click on this link will take you to add screen.**: Points to the 'Add' button.
- MID Master: Click on this link will take you to MID Master Page**: Points to the 'MID Master' button.
- Cancel: Click on this link will take you to the Parent Page.**: Points to the 'Cancel' button.
- Scroll to view the Previous and Next set of Country Names**: Points to the 'Previous' and 'Next' buttons.

Country Name	Country Code	Active
Cambodia	CD	Y
Chad	CH	N
Chile	CL	N
Colombia	CO	Y
Congo(Kinshasa)	CK	N
Czech Republic	CR	N
Congo(Brazzaville)	CB	Y
Croatia	CT	N
Croatia	CE	Y

COO Grid

Grid display contains vertical scroll bar. The rows are sorted by Country Name.

COL	COLUMN NAME	FUNCTION	DB2 NAME	SOURCE	VALUES	COMMENTS
1	COUNTRY NAME		CRTY_NM	TFTCS19		Enabled = No Display only
2	COUNTRY CODE		ISO_COO_CD	TFTCS19		Enabled = No Display only
3	ACTIVE FLAG		ACTV_FL	TFTCS19		Enabled = No Display only

Commands

COMMAND	FUNCTION	COMMENTS
Click here to add	This will allow the user to add new COO Details	When this action is performed, do not show the Character listing so that the user is allowed to just do an add operation only. (Refer COOAdd.html)
Click on Country Name to edit	This will allow the user to modify an existing COO Details	When this action is performed, do not show the Character listing so that the user is allowed to just do an modify operation only(Refer COOUpdate.html).

COO Add screen :

When the user clicks "Add" on COO – Inquire Edit Page, then the screen should be displayed as follows. When adding a new country name, make sure that the same country name is not entered with a different country code.

Trade Compliance System

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April 2, 2002

HONDA

Classification > COO

Item Master | Criteria Template | Service Parts Queue | Non-Service Parts Queue | HTS Inquiry | Vendor Master

Country Name

Country Code

Active

Save / Cancel

Country Name	Country Code	Active
Chad	CH	Y
Chile	CL	Y
Colombia	CO	Y
Congo (Kinshasa)	CK	Y
Czech Republic	CR	Y
Congo (Brazzaville)	CB	Y
Croatia	CT	Y
Cote d'Ivoire	CE	Y

Item Master | FICG Tables | Criteria Template | Classification Queue | HTS Maint | MID/COO | Vendor Master

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COO Grid

Grid display contains vertical scroll bar. The rows are sorted by Country Name.

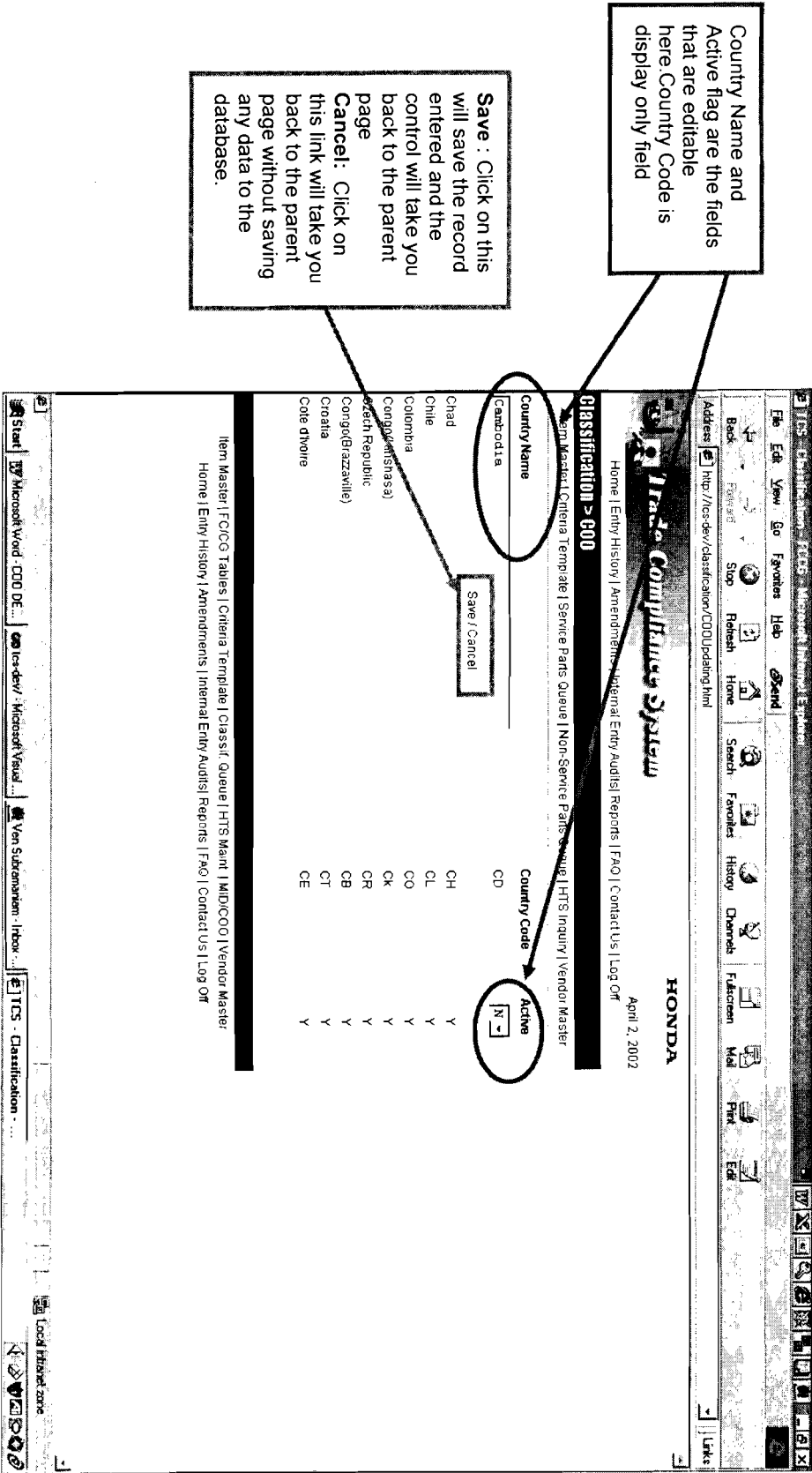
COL	COLUMN NAME	FUNCTION	DB2 NAME	SOURCE	VALUES	COMMENTS
1	COUNTRY NAME		CRTY_NM	TFTCS19		Enabled = Yes
2	COUNTRY CODE		ISO_COO_CD	TFTCS19		Enabled = Yes
3	ACTIVE FLAG		ACTV_FL	TFTCS19	Y, N	Enabled = Yes

Commands

COMMAND	FUNCTION	COMMENTS
Save	Click on this link will allow the user to save the record to TFTCS19.	It executes INSERT Query. e.g INSERT INTO TFTCS19 (CTRY_NM, ISO_COO_CD, ACTV_FL, CRET_TMSTMP_DT, LAST_UPD_TMSTMP_DT, LAST_UPD_USER_NM) VALUES ('JAPAN', 'JP', 'Y', CURRENT TIMESTAMP, CURRENT TIME STAMP, USERID)

COO Update/Edit Screen:

When the user clicks "Country Name" on COO – Inquire Edit Page, then the screen should be displayed as follows:



When modifying country name, make sure that the same country name is not entered with a different country code.

COO Grid

Grid display contains vertical scroll bar. The rows are sorted by Country Name.

COL	COLUMN NAME	FUNCTION	DB2 NAME	SOURCE	VALUES	COMMENTS
1	COUNTRY NAME		CRTY_NM	TFTCS19		Enabled = Yes
2	COUNTRY CODE		ISO_COO_CD	TFTCS19		Enabled = No
3	ACTIVE FLAG		ACTV_FL	TFTCS19	Y, N	Enabled = Yes

Commands

COMMAND	FUNCTION	COMMENTS
Save	Click on this link will allow the user to update COO details to TFTCS19.	This Command executes update Query. This Command will also update the LAST UPDATE TIMESTAMP DATE to the current time stamp and LAST UPDATE USER NAME to the current USERID. e.g UPDATE TFTCS19 SET CTRY_NM = "Russia", SET ACTV_FLAG = "Y", SET LAST_UPD_TMSTMP_DT = CURRENT_TIMESTAMP, SET LAST_UPD_USER_NM = USERID WHERE ISO_COO_CD = "UR"

Error Messages:.

ERROR MSG #	TEXT	DESCRIPTION
2505	ERROR – No record found	No record having the searched Key value is found while inquiring.
2703	ERROR – Country Code already exists	Displays in the ADD, when the User attempts to enter a COO Code which already exists in the COO Table(TFTCS19)

File Names

Purpose	Name of the Screen	DESCRIPTION
Country Name Listing	COOInquire.html	Inquire Listing for TFTCS19
Screen to add/modify COO Details	COOUpdatelink.html	Screen to add/modify records into TFTCS19

Exhibit 7



TRADE COMPLIANCE SYSTEM (TCS)

Internal Entry Audits

Batch Program Specification

JULY 1, 2003

INTERNAL ENTRY AUDITS - BATCH PROGRAM SPECIFICATION

TABLE OF CONTENTS

I. OVERVIEW	4
Narrative.....	4
Batch Process Flow.....	9
Processing Schedule	10
Ongoing Production Batch:	10
On Request Batch:.....	10
Online:.....	10
Execution Conflicts:	10
II. INPUT-OUTPUT SUMMARY:	11
Files:.....	11
DB2 Tables:.....	11
Reports:.....	12
Run Control Report - FTCS60-A:.....	12
IV. PROCESS STRUCTURE CHART:	16
V. PROCESSES:.....	17
1. Mainline Processing Logic:	17
Initialization:.....	17
Entry Driven Auditing:	18
End Routine:.....	18
2. Audit Applicable Entry Driven Groups:.....	19
3. Invoice Group Audits:	22
4. Header Group Audits:	26
5. Payment Balancing Group Audits:.....	37
6. Product Group Audits:	37
VI. SUBROUTINES:.....	56
Calculate Fee Using TFTCS75 Customs Fee Schedule:	56
VII. FILE & TABLE LAYOUTS:.....	57
File Layouts:	57
Input Parameters	57
Working Storage:.....	57

W/S Audit Exec & Date Params	57
DB2 Table Layouts:	60
TFTCS60 Entry Audit Group Statistics	60
TFTCS61 Entry Audit Exception.....	61
TFTCS62 Entry Audit Group Definition (not accessed, for reference only)	61
TFTCS63 Entry Audit Definition (not accessed, for reference only).....	62
TFTCS65 Customs Broker Master	63
VIII. REVISION LOG	65

I. Overview

Narrative

Customs Entries will be filed by the Customs Brokers on behalf of American Honda. On an ongoing basis, TCS will receive electronic Customs Entry History from the Customs Brokers, and load the entries into our Entry History DB2 tables. This batch process will perform Internal Entry Audits against the information to evaluate the correctness of the data declared to U. S. Customs, and insure that the data is valid for various post entry processing, such as amendments or reconciliation.

Audits will be performed against the various levels of data on the Entry History, including the header, commercial invoice, and detailed commercial line item or product level. Individual audits will be combined into audit groups, according to level, whether the audit is automated or manual, and by user preference. Audit execution will be controlled at the audit group level, as will the accumulation of audit statistics for reporting. Audit exceptions will be logged for each detailed audit, including identifying information such as the entry number, commercial invoice number, and product (as appropriate), and will include a failure message and specific data regarding the failure.

Audit Name	Audit Code	Audit Group	Audit ?	Audit Description	Failure Message	Failure Data
Header Level:						
Customs Broker Audit	CB	Header	Y	Audit to verify broker filer number is a valid broker for AH. Verification checks against the Customs Broker Master for presence, to make sure there is a legal agreement for the broker to do business for AH, and that they are setup to send electronic data.	Broker Not on Master Broker Has No Legal Agrmnt Broker not Setup for Elec Intf	BRKR=xxx BRKR=xxx xxxxxxxxxxxxxxxxxxx BRKR=xxx xxxxxxxxxxxxxxxxxxx
Entry Type Audit	Type	Header	Y	Entry Type must be '01' (Consumption – Free and Dutiable), '11' (Informal – Free and Dutiable), '21' (Warehouse), or '31' (Warehouse Withdrawal-Consumption).	Unexpected Entry Type	TYPE= xx
Bond Type Audit	Bond	Header	Y	Bond Type must be '8' (Continuous Bond).	Incorrect Bond Type	TYPE=x
Other Recon Bus Reason Audit	RcnR	Header	Y	Audit of 'other' reconciliation business reason in entry. Entry may currently be flagged due to: <ul style="list-style-type: none"> Service Parts Royalty, which will be verified using the Foreign Vendor master and Item Master tables. HPD R & D Expenses, which will be verified by business logic. Division code for HPD and commercial invoice 	Unknown Business Reason Flag Missing – HPD Flag Missing – Serv Part Rylty Flag Val Incorr-HPD Flag Val Incorr-Srv Prt Rylty	BROKER=xxx OTHER FLAG=xxx BROKER=xxx OTHER FLAG=xxx BROKER=xxx OTHER FLAG=xxx

Audit Name	Audit Code	Audit Group	Audit ?	Audit Description	Failure Message	Failure Data
				number ending with 'AHM'. If one invoice for the entry qualifies, all invoices must qualify. Also checks to make sure flag is set for VALUE reconciliation.	Mixed HPD Invoices	DIV=x INV=xxxxxxxxxxxxxxxx Xxxxxxxx
Other Recon Mult Vendor Audit	RcnV	Header	Y	Audit of 'other' reconciliation for multiple vendors in entry. Entry has been flagged for Other reconciliation but there are multiple invoices that have selling MID's that translate to different vendors. Since value allocation is by vendor, this will create problems in value allocation.	Multiple Vendors Found	VENDORS= xxxxxxxxx xxxxxxxxxx
Recon Broker Audit	RcnB	Header	Y	Audit to ensure if reconciliation flags are set, Broke has agreement to file reconciliation entries for AH. If either reconciliation flag is set, Customs Broker must have an agreement to do that type of reconciliation for AH per Customs Broker master.	Broker Not Setup To Do Recon	BRKR=xxx AGRMT= OTHER NAFTA=x OTHER=xxx
HMF Audit	HMF	Header	Y	Entry level HMF calculation is verified.	Entry HMF Not Same As TCS Calc	ENTRY=zzz,zzz.99 CALC=zzz,zzz.99
MPF Audit	MPF	Header	Y	Entry level MPF calculation is verified.	Entry MPF Not Same As TCS Calc	ENTRY=zzz,zzz.99 CALC=zzz,zzz.99
Entry Balancing Audit	Bal	Header	Y	Audit to verify that various entry amounts balance between the various levels of data.	Entry Entrd Val not= Tot Inv Entry Duty not= Tot HTS Entry CVD Duty not= sum Of HTS Entry ADD Duty not= sum Of HTS Inv Entrd Val not= Tot HTS Inv Make Mkt not= Tot CI Dtl HTS Entrd Val not= Sum of CI Dtl HTS ADD Duty not= Tot CI Dtl HTS CVD Duty not=	ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99 ENTRY=zzz,zzz,zzz.99 CALC=zzz,zzz,zzz.99

Audit Name	Audit Code	Audit Group	Audit ?	Audit Description	Failure Message	Failure Data
					Tot CI Dtl	CALC=zzz,zzz,zzz.99
Invoice Level:						
Division Translation Audit	Div	Invoice	Y	Division translation audit. Division is translated by retrieving the division from the Item master for items on the entry. If multiple divisions are found, M/C Racing (X) or HPD (R) will override Service Parts, and an exception will not be logged. All other instances of multiple divisions will be considered an exception.	Items For Mult Divisions Found No Item Master Matches	DIVS = x x x x x ITEMS=xxxxxxxxxxxxxxxxxx Xxxxxxxxxxxxxxxxxxx
Selling Manufacturer Audit	SMfr	Invoice	Y	Audit of selling manufacturer. Selling Manufacturer ID validated against the Manufacturer Master.	Missing Selling Mfr ID Invalid Selling Mfr ID	DIV CD= x MFR ID= xxxxxxxxxxxxxxxxxx
Vendor Translation Audit	Vndr	Invoice	Y	Audit of translation of selling manufacturer ID to Vendor Code. A combination of Divisions and Selling Manufacturer ID is translated using the Manufacturer and Foreign Vendor master tables.	No Vendor Translation	DIV CD= x MFR ID= xxxxxxxxxxxxxxxxxx
Related Party Audit	Rltd	Invoice	Y	Related party audit. Flag is audited against flag in Manufacturer master for the selling manufacturer.	Flag Incorrectly Set	ENTRY=x MSTR=x MID=xxxxxxxxxxxxxxxxxx
Payment Balancing Audit	Pymt	Pymt Bal	Y	Payment is balanced against Customs Entry invoice entered value.	Missing Vendor Number Entry Invoice Unmatched Entry/Payment Out of Balance	
Product Level:						
Item Master Audit	Item	Product	Y	Item ID is checked against the TFTCS10 Item Master.	Invalid Item ID	PRODUCT= Xxxxxxxxxxxxxxxxxxx
CI Line Item MID Audit	FMfr	Product	Y	Manufacturer ID is validated against the MID Master if it is not the same as the invoice level selling MID.	Missing CI Line Item MID Invalid CI Line Item MID	MFR ID= xxxxxxxxxxxxxxxxxx
Country Of Origin Audit	COO	Product	Y	COO is checked against primary COO in the TFTCS10 Item Master and alternate COO's in the Product Attribute.	COO Not On Master	ENTRY=XX MSTR=XX
Extended Value Audit	EVal	Product	Y	Quantity and Unit Cost are checked for presence, and extended value is compared to the result of sales quantity * unit cost.	Missing Quantity & Unit Cost Missing Quantity Missing Unit Cost Ext Val not =Qty * Unit Cost	EXT VAL=ZZZ,ZZZ,ZZZ.99 CALC=ZZZ,ZZZ,ZZZ.99

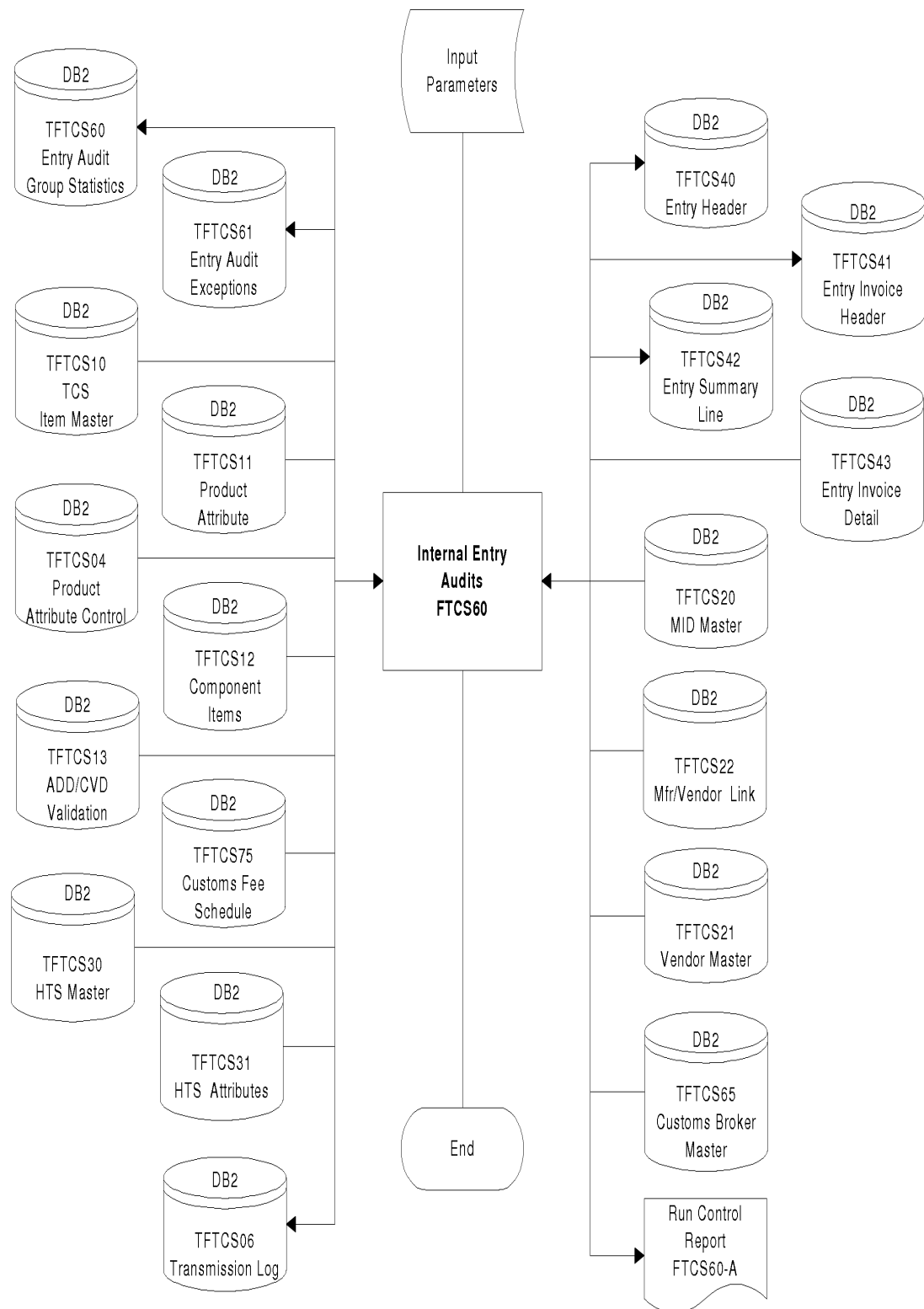
Audit Name	Audit Code	Audit Group	Audit ?	Audit Description	Failure Message	Failure Data
Special Item Flagging	Spec	Product	Y	Item has been flagged in the product attribute to be reported. Product attribute code will designate the reason for flagging.	Special Item On Entry	REASON=xxxxxxxxxxxxxx
Other Gov Agency Audit	OGA	Product	Y	OGA product attributes will be compared to the OGA flags on the entry. FCC, FDA, and DOT flags are checked. Flags missing on the entry are listed.	Invalid OGA	MISSING=xxx xxx xxx
Primary HTS Audit	HTS1	Product	Y	Primary HTS code is checked against the HTS codes in the item master.	9801 Missing on Entry 9801 Not On Master Primary HTS Code Incorrect	ENTRY=xxxx.xx.xxxx MSTR=xxxx.xx.xxxx ENTRY=xxxx.xx.xxxx MSTR=xxxx.xx.xxxx ENTRY=xxxx.xx.xxxx MSTR=xxxx.xx.xxxx
Secondary HTS Audit	HTS2	Product	Y	Secondary HTS code is checked against the HTS codes in the item master.	Secondary HTS Code Incorrect	ENTRY=xxxx.xx.xxxx MSTR=xxxx.xx.xxxx
Special Program Ind Audit	SPI	Product	Y	Special program indicator is checked against the product attribute.	SPI Not On Master SPI Missing on Entry Incorrect SPI No Special Rates Found	ENTRY=x MSTR=x
GSP Inactive Audit	GSP	Product	Y	Special program indicator of GSP is specified on entry with non-zero duty rate. Entry header is flagged pending future amendment.	Inactive GSP Pgm on Entry	RATE=zzzz.999999%
Duty Calculation Audit	DUTY	Product	Y	Duty rate and resulting calculation are compared to results from master.	Duty Comp Code Not Supported Duty Rate Not On Master Duty Rate Incorrect Duty Calculation Incorrect Rptg Factor Req'd for Duty Calc	COMPUTATION CODE=x HTS=xxxx.xx.xxxx xxxx.xx.xxxx MSTR=zzzz.999999% CMP=x ENTRY=zzzz.999999% MSTR=zzzz.999999% CMP=x COMPUTATION CODE=x
Primary UOM Audit	UOM1	Product	Y	Primary reporting UOM is checked against the HTS master.	Primary UOM Incorrect	ENTRY=xxx MSTR=xxx
Primary Rptg Qty Calc Audit	QTY1	Product	Y	If the primary reporting quantity is used in duty calc, sum of calculated reporting quantities in detail rows must match	Primary Rptg Qty Factor Missing Primary Rptg Qty Calc	ENTRY=xxx MSTR=xxx CMP=x DTL=zzz,zzz,zzz.99

Audit Name	Audit Code	Audit Group	Audit ?	Audit Description	Failure Message	Failure Data
				summary row total. Supported duty computation codes using the primary quantity are 1, 3, 4, & 6.	Error	SUM=zzz,zz,zzz.99
Secondary UOM Audit	UOM2	Product	Y	Secondary UOM is checked against the HTS master.	Secondary UOM Incorrect	ENTRY=xxx MSTR=xxx
Secondary Rptg Qty Calc Audit	QTY2	Product	Y	If the secondary reporting quantity is used in duty calc, sum of calculated reporting quantities in detail rows must match summary row total. Supported duty computation codes using the secondary quantity are 2, 3, 5, & 6.	Secondary Rptg Qty Factor Missing Secondary Rptg Qty Calc Error	ENTRY=xxx MSTR=xxx CMP=x DTL=zzz,zzz,zzz.99 SUM=zzz,zz,zzz.99
Anti-Dumping Audit	ADD	Product	Y	Anti-dumping information on entry is checked against the product attribute and ADD/CVD validation table.	ADD Missing On Entry ADD Not On Master Invalid ADD Case Invalid ADD Rate Incorrect ADD Duty Calc	CASE=xxxxxxxxxxxx CASE=xxxxxxxxxxxx ENTRY=xxxxxxxxxxxx MSTR=xxxxxxxxxxxx ENTRY=zzzz.99999999 MSTR=zzzz.99999999 ENTRY=zzz,zzz,zzz.99 MSTR=zzz,zzz,zzz.99
Countervailing Audit	CVD	Product	Y	Countervailing information on entry is checked against the product attribute and ADD/CVD validation table.	CVD Missing On Entry CVD Not On Master Invalid CVD Case Invalid CVD Rate Incorrect CVD Duty Calc	CASE=xxxxxxxxxxxx CASE=xxxxxxxxxxxx ENTRY=xxxxxxxxxxxx MSTR=xxxxxxxxxxxx ENTRY=zzzz.99999999 MSTR=zzzz.99999999 ENTRY=zzz,zzz,zzz.99 MSTR=zzz,zzz,zzz.99

Input run parameters will determine which entries to audit (by entry date range), which audit groups to run, and, optionally, provide further entry selection criteria to limit the entries audited.

In addition to data validation and auditing, some data translation will be performed which will result in the updating of selected derived data in the Entry History tables, such as vendor code and other reconciliation business reason. This will avoid repeating the application logic for these translations in both the entry history load and audit processes.

Batch Process Flow



Processing Schedule

Ongoing Production Batch:

- Audits will execute after the scheduled production loads of the entry history. This production run will include the Header, Invoice, & Product groups.
- The Payment Balancing group will execute once a month, after the monthly adjustment and payment processing.

On Request Batch:

- In the future, TCS users will be able to submit audit executions on an ad-hoc basis via an online panel.
- If other production audit runs need to be executed off-schedule, the jobs can be demanded-in through operations.

Online:

- Payment Balancing is available online for a single entry from the Payment Balancing screens..

Execution Conflicts:

- Negative job dependencies should be used to prevent the audits from running during the execution of the ongoing entry history load, other internal entry audit jobs, or entry history conversion.

II. Input-Output Summary:

Files:

Name	Type	Description
Input Parameters	Input Parameter	Parameters that control which automated audits will execute in a given batch run, what entry timeframe will be used, and if entries with previous pass results will be re-executed. Also includes optional selection data that will further limit the entries that are processed by the audit run. Routine parameters come in through the input parameters, ad-hoc parameters will be read in from the TFTCS06 Transmission Log.

DB2 Tables:

Table Name	Type	Description
TFTCS60 Entry Audit Group Statistics	Insert/Update	Summarized results of internal entry audits for each entry by audit group. Contains audit status (pass, fail, or un-audited), and counts and value by status. Also contains timestamp of when audit for group was executed, and the entry version used.
TFTCS61 Entry Audit Exception	Delete/Insert	Internal entry audit exception messages for each entry by audit.
TFTCS40 Entry Header	Update	Stores entry history header information received from the Customs Brokers.
TFTCS41 Entry Invoice Header	Update	Stores entry history commercial invoice header information received from the Customs Brokers.
TFTCS42 Entry Summary Line	Read Only	Stores entry line (HTS Summary) information received from the Customs Brokers.
TFTCS43 Entry Invoice Detail	Read Only	Stores entry invoice line item information received from the Customs Brokers.
TFTCS10 TCS Item Master	Read Only	Contains the individual Honda products that are eligible for import including autos, motorcycles, power equipment, service replacement parts, and racing parts.
TFTCS11 Product Attribute	Read Only	Stores product attribute detailed information such as NAFTA and OGA details for import items.
TFTCS04 Product Attribute Control	Read Only	Stores page control information to enable or disable the updateable and/or the display status of product attribute fields on the product attribute maintenance page. Based on the PROD_ATR_CD value, specific fields will be turned on or off depending on the corresponding Y/N flag from this table.
TFTCS12 Component Items	Read Only	Links Item Master rows, such as kits to their component Item Master rows. Component Items are individual component parts, such as a tool that make up a kit.
TFTCS13 ADD/CVD Validation	Read Only	This table is used to validate the ADD/CVD case number entered on Item Master Screen 214. The ADD/CVD Validation table is also used to store ADD/CVD historical information (publication date, Federal Register cite number, and action).
TFTCS30 HTS Master	Read Only	Contains all tariff information pertaining to a tariff number (HTS_TRF_NO) and driven by effective dates (HTS_EFF_DT). This HTS_TRF_NO is the classification code used and reported to the US Customs by American Honda and its brokers in the declaration process of all imported items.
TFTCS31 HTS Attributes	Read Only	Contains additional attribute information pertaining to a specific tariff number

Table Name	Type	Description
		(HTS_TRF_NO) in the TFTCS30 (HTS Master) table. This table contains detail information on the HTS attributes, identified by attribute type and attribute code for the associated HTS Code and Effective date. The 3 attribute types include: <ul style="list-style-type: none"> ➤ XGSP (GSP Excluded Countries) ➤ OGA (Other Government Agencies) ➤ SPGI (Special Program Indicators)
TFTCS20 MID Master	Read Only	Stores shipper/manufacturer information used by AH Customs and Customs Brokers.
TFTCS21 Vendor Master	Read Only	Stores information about foreign vendors.
TFTCS22 Vendor MID Link	Read Only	Relationship table for translation of a manufacturer ID and Division Code to a Vendor Code.
TFTCS65 Customs Broker Master	Read Only	Customs Broker information.
TFTCS06 Transmission Log	Insert/Update	Log of job step executions for TCS.
TFTCS75 Customs Fee Schedule	Read Only	Stores various Customs fees (such as MPF and HMF) including any applicable minimum and maximum charges.

Reports:

Report Title	Description
FTCS60-A Run Control Report	Shows input request parms and summarizes run processing.

Run Control Report - FTCS60-A:

Data Mapping:

Headings:

Field	Data Mapping
A	Processing Date & Time

Input Parameters:

Field	Data Mapping
B	Re-audit-Passed-Audits-Fl from W/S Audit Exec & Date Parms
C	Group Audit Flags from W/S Audit Exec & Date Parms
D	From-Entr-Dt & To-Entr-Dt from W/S Audit Exec & Date Parms
E	From-Entr-Offset-Days-Qy & To-Entr-Offset-Days-Qy from W/S Audit Exec & Date Parms
F	Select-Criteria-Tx from W/S Audit Exec & Date Parms
G	User_Nm from TFTCS06 Transmission Log

Summary Totals:

Field	Data Mapping
H	Total count of entries selected for auditing
I	Total count of entries audited (entries with at least 1 audit group executed)

J	Total count of times audit group was executed
K	Total count of inserts into audit exception table

[illegible][illegible]

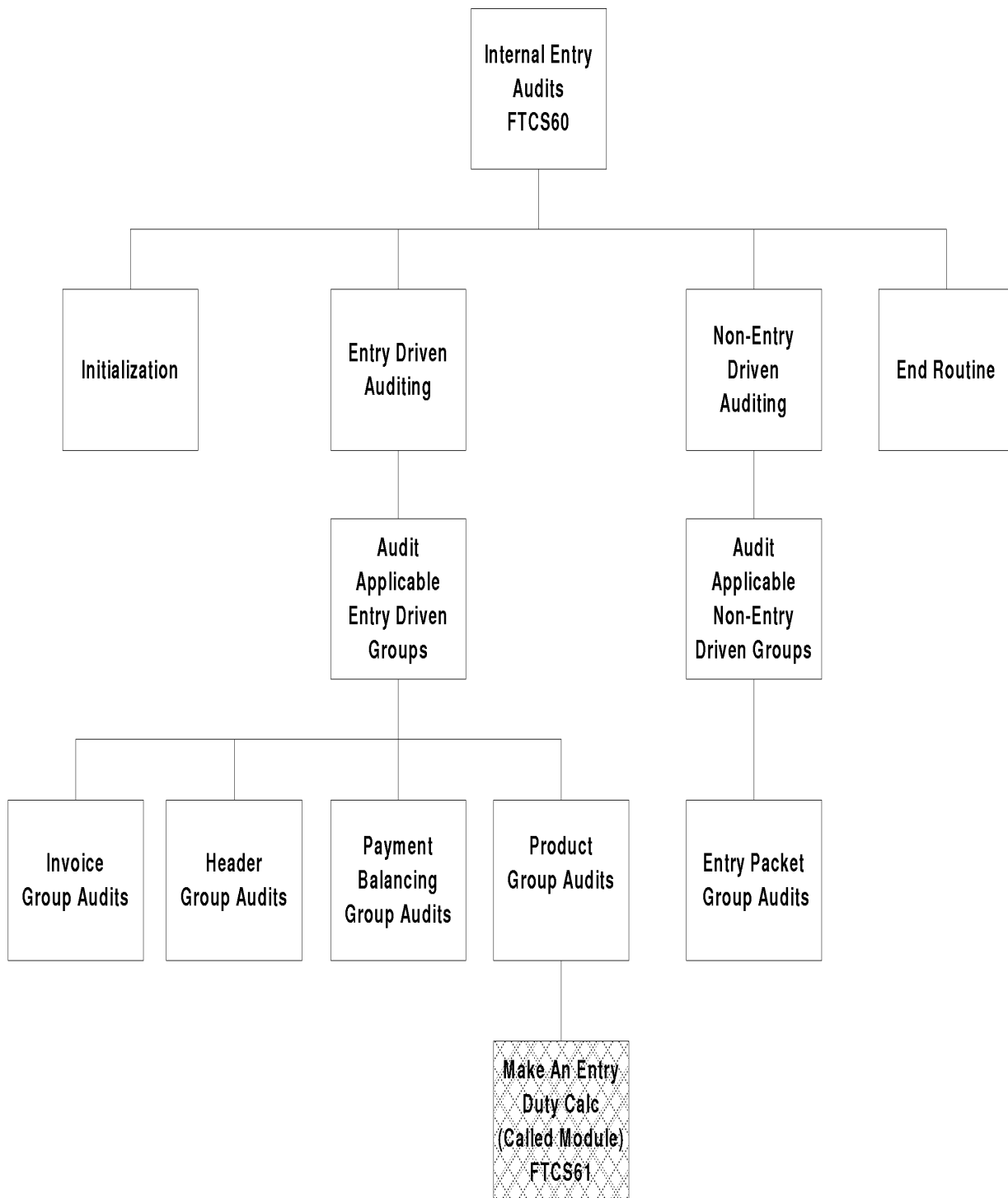
III. Processing Standards:

The following standard coding practices should be used:

- 1) DB2 Error Handling:
 - SQL return code must be checked after every SQL statement, including cursor opens. An abend should occur for any SQL return code not '000' unless the logic specifically handles the non-zero SQL code (such as 100 'not found' or 818 'dupe record').
- 2) Abend Processing, before terminating:
 - The following abend information should be printed on the output report:
 - Name of paragraph where error occurred
 - Abend message describing the function or SQL statement being executed and problem data (if possible), such as:
 - ◆ 'SQL ERROR ON VENDOR MASTER READ FOR VENDOR=000287'
 - ◆ 'UNRECOGNIZED INPUT PARAMETER REPORT NAME=JOES REPORT'
 - For SQL errors:
 - ◆ SQL code (including sign)
 - ◆ Entire SQLCA
 - A rollback should be executed if a unit-of-commit has been started
 - If possible, print summary totals section of FTCS60-A Run Control Report
 - All files should be closed, including print file
 - If possible, TCTCS06 Transmission Log should be updated with Exec_Cd of 0016
 - Program return code should be set to 0016 to denote a fatal error
- 3) DB2 Cursor Processing:
 - Cursors should be closed when no longer needed
- 4) Audit Trail Table Columns:
 - The following values should be used for the common TCS audit trail columns:

Data Mapping	
Column Name	Data Population
Cret_Tmstmp_Dt	Current Date + Current Time on add only
Last_Upd_Tmstmp_Dt	Current Date + Current Time on add and update
Last_Upd_User_Name	User_Nm from the TFTCS06 Transmission Log

IV. Process Structure Chart:



V. Processes:

1. Mainline Processing Logic:

Initialization:

- 1) Get Current Date for Processing-Date
- 2) Get Current Time for Processing-Time
- 3) Retrieve parameters:
 - If DB2 parameter passed Adhoc-Exec-Fl = 'Y'
 - Using Cursor
Read TFTCS06 Transmission Log
Using Trmsn_Nm = 'AUDIT EXEC-ADHOC'
And Exec_Stat_Cd = 'PARM'
And Job_End_Ts is nulls as selection criteria
Order by Job_Start_Ts
 - If no parameters found
 - ◆ abend
 - Otherwise (use oldest parameter)
 - ◆ Move Exec_Note_Tx to W/S Audit Exec & Date Parms
 - Otherwise (routine execution)
 - Move Routine-Audit-Parms to W/S Audit Exec & Date Parms
- 4) Audit Exec & Date Parm processing:
 - Use W/S Audit Exec & Date Parms to determine:
 - Which entries will be selected using the range of entry dates
 - ◆ If offset From days is specified
 - Calculate From-Entr-Dt = Processing-Date - From-Entr-Offset-Days-Qy
 - ◆ Otherwise
 - Use From-Entr-Dt as specified
 - ◆ If offset To days is specified
 - Calculate To-Entr-Dt = Processing-Date - To-Entr-Offset-Days-Qy
 - ◆ Otherwise
 - Use To-Entr-Dt as specified
 - If entries already passing audit will be bypassed
 - Which audit group(s) will be executed
 - What other detailed entry selection criteria is desired (optional)
 - Abend if parameters are invalid or missing
- 5) Print input parameter section of FTCS60-A Run Control Report.
- 6) TFTCS06 Transmission Log:
 - If DB2 parameter passed Adhoc-Exec-Fl = 'Y'
 - Update job step execution row into TFTCS06 Transmission Log
Using Trmsn_Nm = 'AUDIT EXEC-ADHOC'
And Job_Start_Ts = Job_Start_Ts previously read as selection criteria

Data Mapping (Updated Columns Only)	
Column Name	Data Population
Exec_Stat_Cd	<blank>

➤ Otherwise (routine job)

- Insert job step execution row into TFTCS06 Transmission Log:

Data Mapping	
Column Name	Data Population
Trmsn_Nm	'AUDIT EXEC-ROUTINE'
Job_Strt_TS	Processing-Date + Processing-Time
Job_End_TS	Nulls
Last_Upd_User_Nm	<blank>
Exec_Stat_Cd	<blank>
Exec_Note_Tx	W/S Audit Exec & Date Parms

7) Commit

Entry Driven Auditing:

- Using DB2 cursor with hold:
 Read joining TFTCS40 Entry Header to TFTCS60 Entry Audit Group Statistics (Header Group)
 Using Entr_No as join key
 Using Entr_Dt between From-Entr-Dt and To-Entr-Dt in W/S Audit Exec & Date Parms
 And Last_Vrsn_Fl = 'Y'
 And Audt_Grp_Cd = 'HEADER' as selection criteria
 Order by Entr_No

- For each selected entry:
 - Do **Audit Applicable Entry Driven Groups** routine

End Routine:

- Print summary totals section of FTCS60-A Run Control Report.
- Update TFTCS06 Transmission Log with successful completion:
 Using Trmsn_Nm and Job_Strt_Ts as selection criteria (see prior logic for keys)

Data Mapping (Updated Columns Only)	
Column Name	Data Population
Job_End_Ts	Current Date + Current Time
Exec_Stat_Cd	0000

- Commit
- End of Run

2. Audit Applicable Entry Driven Groups:

- Each audit group is controlled separately by W/S Audit Exec & Date Parm
- Each audit group is a unit-of-commit
-
- If the input parameters indicate to bypass passed audits and the audit group has passed already
- The audit group will be bypassed unless the audit was performed against a different version of the entry

- Invoice audits are performed first, as this audit group includes the division and vendor translation which are needed in subsequent audits
-

- 1) If Invoice-Grp-Audit-Fl in W/S Audit Exec & Date Parm = 'Y'
 - Read TFTCS60 Entry Audit Group Statistics row
Using Entr_No
and Audt_Grp_Cd = 'INVOICE' as selection criteria
 - If (Re-audit-Passed-Audits-Fl in W/S Audit Exec & Date Parm = 'N'
and Audt_Grp_Rslt_Cd in TFTCS60 Entry Audit Group Statistics = 'P')
and Entr_Vrsn_No in TFTCS40 Entry Header = Entr_Vrsn_No in TFTCS60 Entry Audit Group Statistics
 - Bypass Invoice Group Audits
 - Otherwise (do invoice group audits)
 - Initialize Group Statistics needed for population of TFTCS60 Entry Audit Group Statistics row
 - Delete TFTCS61 Entry Audit Exceptions
Using Entr_No
and Audt_Grp_Cd = 'INVOICE' as selection criteria
 - Using a DB2 cursor:
Read TFTCS41 Entry Invoice Header (latest entry version)
Using Entr_No
And Last_Vrsn_Fl = 'Y' as selection criteria
 - For each TFTCS41 Entry Invoice Header in selected entry:
 - ◆ Do **Invoice Group Audits** routine
 - ◆ Accumulate Invoice Group Totals for later updating of TFTCS60 Entry Audit Group Statistics row:
 - Accumulate count totals by adding 1 to either Pass or Fail Count Total depending on outcome of audits
 - Accumulate value totals by adding Entr_Vlu_Am from TFTCS41 Entry Invoice Header to Pass or Fail Value Amount Total depending on outcome of audits
 - Update Group Statistics in TFTCS60 Entry Audit Group Statistics
Using Entr_No and Audt_Grp_Cd = 'INVOICE' as selection criteria

Data Mapping (Updated Columns Only)	
Column Name	Data Population
Entr_Vrsn_No	From TFTCS41 Entry Invoice Header
Audt_Run_Ts	Processing-Date + Processing-Time
Audt_Grp_Rslt_Cd	'P' = all passed, 'F' = at least 1 failed
Audt_Grp_Pass_No	Count of invoices passing all invoice audits
Audt_Grp_Fail_No	Count of invoices failing at least one invoice audit
Audt_Grp_Uadt_No	0
Audt_Grp_Pass_Am	Sum of Entr_Vlu_Am from TFTCS41 Entry Invoice Header for invoices passing all invoice audits
Audt_Grp_Fail_Am	Sum of Entr_Vlu_Am from TFTCS41 Entry Invoice Header for invoices failing at least one invoice audit
Audt_Grp_Uadt_Am	0

- Commit

2) If Header-Grp-Audit-Fl in W/S Audit Exec & Date Parms = 'Y'

- Read TFTCS60 Entry Audit Group Statistics row
Using Entr_No
and Audt_Grp_Cd = 'HEADER' as selection criteria
- If (Re-audit-Passed-Audits-Fl in W/S Audit Exec & Date Parms = 'N'
and Audt_Grp_Rslt_Cd in TFTCS60 Entry Audit Group Statistics = 'P')
and Entr_Vrsn_No in TFTCS40 Entry Header = Entr_Vrsn_No in TFTCS60 Entry Audit Group Statistics
 - Bypass Header Group Audits
- Otherwise (do Header Group audits)
 - Delete TFTCS61 Entry Audit Exception
Using Entr_No
and Audt_Grp_Cd = 'HEADER' as selection criteria
 - Do **Header Group Audits** routine (using TFTCS40 Entry Header row previously fetched in main entry cursor)
 - Update Group Statistics in TFTCS60 Entry Audit Group Statistics
Using Entr_No
and Audt_Grp_Cd = 'HEADER' as selection criteria

Data Mapping (Updated Columns Only)	
Column Name	Data Population
Entr_Vrsn_No	From TFTCS40 Entry Header
Audt_Run_Ts	Processing-Date + Processing-Time
Audt_Grp_Rslt_Cd	'P' = all passed, 'F' = at least 1 failed
Audt_Grp_Pass_No	1 if passing all header audits, otherwise 0
Audt_Grp_Fail_No	1 if failing at least one header audit, otherwise 0
Audt_Grp_Uadt_No	0
Audt_Grp_Pass_Am	Entr_Vlu_Am from TFTCS40 Entry Header if failing at least one header audit
Audt_Grp_Fail_Am	Entr_Vlu_Am from TFTCS40 Entry Header if passing all header audits
Audt_Grp_Uadt_Am	0

- Commit

3) If Pymt-Bal-Grp-Audit-Fl in W/S Audit Exec & Date Parms = 'Y'

- See separate Payment Balancing Audit Spec

4) If Product-Grp-Audit-Fl in W/S Audit Exec & Date Parms = 'Y'

- Read TFTCS60 Entry Audit Group Statistics row
Using Entr_No
and Audt_Grp_Cd = 'PRODUCT' as selection criteria
- If (Re-audit-Passed-Audits-Fl in W/S Audit Exec & Date Parms = 'N'
and Audt_Grp_Rslt_Cd in TFTCS60 Entry Audit Group Statistics = 'P')
and Entr_Vrsn_No in TFTCS40 Entry Header = Entr_Vrsn_No in TFTCS60 Entry Audit Group Statistics
 - Bypass Product Group Audits
- Otherwise (do product group audits)
 - Initialize Group Statistics needed for population of TFTCS60 Entry Audit Group Statistics row
 - Delete TFTCS61 Entry Audit Exceptions

- Using Entr_No
and Audt_Grp_Cd = 'PRODUCT' as selection criteria
- Using a DB2 cursor:
Read TFTCS42 Entry Summary Line joined to TFTCS43 Entry Detail Line (latest entry version)
Joining on Entr_No, Entr_Vrsn_No, Sum_Line_Seq_No
Using Entr_No
And Last_Vrsn_Fl = 'Y' as selection criteria
- For each TFTCS42/3 in selected entry:
 - ◆ Do **Product Group Audits** routine
 - ◆ Accumulate Product Group Totals for later updating of TFTCS60 Entry Audit Group Statistics row:
 - Accumulate count totals by adding 1 to either Pass or Fail Count Total depending on outcome of audits
 - Accumulate value totals by adding Entr_Vlu_Am from TFTCS43 Entry Detail Line to Pass or Fail Value Amount Total depending on outcome of audits
- Update Group Statistics in TFTCS60 Entry Audit Group Statistics
Using Entr_No and Audt_Grp_Cd = 'PRODUCT' as selection criteria

Data Mapping (Updated Columns Only)	
Column Name	Data Population
Entr_Vrsn_No	From TFTCS43 Detail Line
Audt_Run_Ts	Processing-Date + Processing-Time
Audt_Grp_Rslt_Cd	'P' = all passed, 'F' = at least 1 failed
Audt_Grp_Pass_No	Count of CI Lines passing all product audits
Audt_Grp_Fail_No	Count of CI Lines failing at least one product audit
Audt_Grp_Uadt_No	0
Audt_Grp_Pass_Am	Sum of Entr_Vlu_Am from TFTCS43 Detail Line for detail lines passing all product audits
Audt_Grp_Fail_Am	Sum of Entr_Vlu_Am from TFTCS43 Detail Line for detail lines failing at least one product audit
Audt_Grp_Uadt_Am	0

- Commit

3. Invoice Group Audits:

----- Routine is done once for each Entry Invoice. There are 4 Invoice Group audits. Each audit requires resolution to a pass or fail status. Once an audit is ----- resolved, audit is complete. All Invoice Group audits go against the latest version of the entry.

1) Division Translation Audit, Including Division ID Translation

- Read joining the TFTCS43 Entry Invoice Detail for the invoice to the TFTCS10 Item Master
 - Using Item_ID as the join key
 - Using Entr_No, Com_Invc_No, Com_Invc_Seq_No, and Last_Vrsn_Fl = 'Y' (latest version) of TFTCS43 Entry Invoice Detail as selection criteria
 - Grouping by Div_Cd from the TFTCS10 Item Master
 - Sorting by sum'd Entr_Vlu_Am from TFTCS43 Entry Invoice Detail descending (if multiple divisions, one with largest value will sort first)

- If record not found (no items on entry invoice match Item Master)

- ◆ Fail audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS41 Entry Invoice Header
Com_Invc_No	From TFTCS41 Entry Invoice Header
Com_Invc_Seq_No	From TFTCS41 Entry Invoice Header
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS41 Entry Invoice Header
Audt_Cd	'DIV' (DIVISION TRANSLATION AUDIT)
Audt_Grp_Cd	'INVOICE'
Err_No	'5931' (NO ITEM MASTER MATCHES')
Audt_Fail_Tx	Show first 2 line items for entry/invoice from TFTCS43 Entry Invoice Detail: Item IDs=xxxxxxxxxxxxxxxx xxxxxxxxxxxxxxxxxxx

- ◆ Continue to next audit
- Otherwise
 - ◆ If one Div_Cd found
 - Update TFTCS41 Entry Invoice Header
 - Using Entr_No, Com_Invc_No, and Com_Invc_Seq_No as selection criteria (all versions)
 - Setting Div_Cd to Div_Cd from TFTCS10 Item Master cursor
 - Consider audit passed
 - Continue to next audit
 - ◆ Otherwise (multiple Div_Cds found)
 - If Div_Cds found = 'R' (HPD) and 'N' (Service Parts)
 - Update TFTCS41 Entry Invoice Header
 - Using Entr_No, Com_Invc_No, and Com_Invc_Seq_No as selection criteria (all versions)
 - Setting Div_Cd to 'R'
 - Consider audit passed
 - Continue to next audit
 - Otherwise
 - If Div_Cds found = 'A' (Honda) and 'B' (Acura) and Import Country = 'CA'

- Update TFTCS41 Entry Invoice Header
 - Using Entr_No, Com_Invc_No, and Com_Invc_Seq_No as selection criteria (all versions)
 - Setting Div_Cd to Div_Cd with largest Entered Value
- Consider audit passed
- Continue to next audit
- Otherwise
 - If Div_Cds found = 'X' (M/C Racing) and 'N' (Service Parts)
 - Update TFTCS41 Entry Invoice Header
 - Using Entr_No, Com_Invc_No, and Com_Invc_Seq_No as selection criteria (all versions)
 - Setting Div_Cd to 'X'
 - Consider audit passed
 - Continue to next audit
 - Otherwise (multiple division error)
 - Update TFTCS41 Entry Invoice Header
 - Using Entr_No, Com_Invc_No and Com_Invc_Seq_No as selection criteria (all versions)
 - Setting Div_Cd to first Div_Cd from TFTCS10 Item Master cursor (division with largest entered value)
 - Fail audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS41 Entry Invoice Header
Com_Invc_No	From TFTCS41 Entry Invoice Header
Com_Invc_Seq_No	From TFTCS41 Entry Invoice Header
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS41 Entry Invoice Header
Audt_Cd	'DIV' (DIVISION TRANSLATION AUDIT)
Audt_Grp_Cd	'INVOICE'
Err_No	'5930' (ITEMS FOR MULT DIVISIONS FOUND)
Audt_Fail_Tx	Show up to 5 divisions from cursor: 'DIV CD=x x x x x

- Continue to next audit

2) Selling Manufacturer Audit

- If Sell_Mfg_ID in TFTCS41 Entry Invoice Header is blank
 - Fail audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS41 Entry Invoice Header
Com_Invc_No	From TFTCS41 Entry Invoice Header
Com_Invc_Seq_No	From TFTCS41 Entry Invoice Header
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS41 Entry Invoice Header
Audt_Cd	'SMFR' (SELLING MANUFACTURER AUDIT)

Audt_Grp_Cd	'INVOICE'
Err_No	'5932' (MISSING SELLING MANUFACTURER ID)
Audt_Fail_Tx	<blank>

- ◆ Continue to next audit
- Otherwise (Selling Manufacturer ID is not blank)
 - Read TFTCS20 MID Master
 - Using Sell_Mfg_ID from TFTCS41 Entry Invoice Header as selection criteria
 - If record not found
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS41 Entry Invoice Header
Com_Invc_No	From TFTCS41 Entry Invoice Header
Com_Invc_Seq_No	From TFTCS41 Entry Invoice Header
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS41 Entry Invoice Header
Audt_Cd	'SMFR' (SELLING MANUFACTURER AUDIT)
Audt_Grp_Cd	'INVOICE'
Err_No	'5933' (INVALID SELLING MANUFACTURER ID)
Audt_Fail_Tx	From TFTCS41 Entry Invoice Header: 'DIV CD='x 'MFR ID='xxxxxxxxxxxx

- Continue to next audit
- Otherwise
 - ◆ Consider audit passed

3) Vendor Translation Audit, Including Update of Vendor Code

- Read joining TFTCS22 Vendor MID Link to TFTCS21 Vendor Master
 - Using Vndr_Cd as join key
 - Using Sell_Mfg_ID and Div_Cd from TFTCS41 Entry Invoice Header as selection criteria
- If record found
 - Update TFTCS41 Entry Invoice Header
 - Using Entr_No, Com_Invc_No, and Com_Invc_Seq_No as selection criteria (all versions)
 - Setting Vndr_Cd to Vndr_Cd from TFTCS22 Vendor MID Link
 - Consider audit passed
 - Continue to next audit
- Otherwise (no translation using Division Code and Selling Manufacturer ID)
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS41 Entry Invoice Header
Com_Invc_No	From TFTCS41 Entry Invoice Header
Com_Invc_Seq_No	From TFTCS41 Entry Invoice Header
Line_Item_Seq_No	0
Item_ID	<blank>

Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS41 Entry Invoice Header
Audt_Cd	'VNDR' (VENDOR TRANSLATION AUDIT)
Audt_Grp_Cd	'INVOICE'
Err_No	'5934' (NO VENDOR TRANSLATION)
Audt_Fail_Tx	From TFTCS41 Entry Invoice Header: 'DIV CD='x 'MFR ID='xxxxxxxxxxxxxx

- ◆ Clear out any previous vendor code:
Update TFTCS41 Entry Invoice Header
Using Entr_No, Com_Invc_No, and Com_Invc_Seq_No as selection criteria (all versions)
Setting Vndr_Cd to Vndr_Cd = ''
- Continue to next audit

4) Related Party Audit

- Read TFTCS20 MID Master
Using Sell_Mfg_ID from TFTCS41 Entry Invoice Header as selection criteria
- If record not found
 - Consider audit passed (Manufacturer Audit will have failed)
 - Continue
- Otherwise (record found)
 - If Rltv_Vndr_Fl of TFTCS20 MID Master not = Rltv_Vndr_Fl of TFTCS41 Entry Invoice Header (consider '' on entry as 'N')
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS41 Entry Invoice Header
Com_Invc_No	From TFTCS41 Entry Invoice Header
Com_Invc_Seq_No	From TFTCS41 Entry Invoice Header
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS41 Entry Invoice Header
Audt_Cd	'RLTD' (RELATED PARTY AUDIT)
Audt_Grp_Cd	'INVOICE'
Err_No	'5935' (FLAG INCORRECTLY SET)
Audt_Fail_Tx	Rltv_Vndr_Fl from TFTCS41 Entry Invoice Header & TFTCS20 MID Master : 'ENTRY='x 'MSTR='x 'MID='xxxxxxxxxxxxxx

- ◆ Continue
- Otherwise (values match)
 - ◆ Consider audit passed
 - ◆ Continue

4. Header Group Audits:

----- Routine is done once for each Entry. There are 9 Header Group audits. Each audit requires resolution to a pass or fail status. Once an audit is resolved, audit is complete. All Header Group audits go against the latest version of the entry.

1) Customs Broker Audit

- Check to see if Customs Broker is on master & sending electronic entry history:
Search Customs Broker Core Table
Using Brkr_Filer_Cd from TFTCS40 Entry Header for selection criteria

- If Record not found

- Fail Audit:

- ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'CB' (CUSTOMS BROKER AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5911' (BROKER NOT ON MASTER)
Audt_Fail_Tx	From TFTCS40 Entry Header: 'BRKR='xxx

- Continue to next audit

- Otherwise (known Broker)

- If AH_Brkr_POA_Fl from Customs Broker Core Table = 'N' (Broker does not has power of Attorney to file entries for AH)

- ◆ Fail Audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'CB' (CUSTOMS BROKER AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5912' (BROKER HAS NO LEGAL AGRMT)
Audt_Fail_Tx	Brkr_Filer_Cd and Broker Name From Customs Broker Core Table: 'BRKR='xxx xxxxxxxxxxxxxxxxxxxxxx

- ◆ Continue to next audit

- Otherwise (Valid AH Broker)

- ◆ If Elec_Entr_Frmt_Cd from Customs Broker Core Table = 'NONE'

- Fail Audit:

➤ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'CB' (CUSTOMS BROKER AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5913' (BROKER NOT SETUP FOR ELEC INTF)
Audt_Fail_Tx	Brkr_Filer_Cd and Cstm_Brkr_Nm From Customs Broker Core Table: 'BRKR='xxx xxxxxxxxxxxxxxxxxxxxxxxx

- Continue to next audit
- ◆ Otherwise (Broker valid & setup to send electronic data)
 - Consider audit passed
 - Continue to next audit

2) Entry Type Audit

- If Entr_Typ_Cd of TFTCS40 Entry Header not in ('01', '11') (Consumption – Free and Dutiable or Informal – Free and Dutiable)

- Fail Audit:

◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'TYPE' (ENTRY TYPE AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5914' (UNEXPECTED ENTRY TYPE)
Audt_Fail_Tx	Entr_Typ_Cd from TFTCS40 Entry Header: TYPE=xx

- Continue to next audit
- Otherwise (Entry Type okay for AH)
 - Consider audit passed
 - Continue to next audit

3) Bond Type Audit

- If Bond_Typ_Cd of TFTCS40 Entry Header not = '8' (Continuous Bond)

- Fail Audit:

◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
--------------	--

Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'BOND' (BOND TYPE AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5915' (INCORRECT BOND TYPE)
Audt_Fail_Tx	Bond_Typ_Cd from TFTCS40 Entry Header: 'TYPE='xx

- Continue to next audit
- Otherwise (Bond Type okay for AH)
 - Consider audit passed
 - Continue to next audit

4) Other Recon Bus Reason Audit, Including Update of Other Reconciliation Business Reason

➤ HPD R & D Expense Reconciliation

Check to see if **ANY** TFTCS41 Entry Invoice Header (latest version) in the entry qualifies for HPD R&D Expense Reconciliation
Read TFTCS41 Entry Invoice Header doing Count(*)

Using Entr_No from TFTCS40 Entry Header and Last_Vrsn_FL = 'Y'
And Div_Cd = 'R' (HPD)
And Com_Invc_No like 'AHM%' as selection criteria

If Count > 0

- Check to see if **ALL** TFTCS41 Entry Invoice Headers (latest version) in the entry qualify for HPD R&D Expense Reconciliation

If Count = Invc_Cnt_No in TFTCS40 Entry Header

- ◆ If Other_Recon_Cd in TFTCS40 Entry Header is not blank (set on)

➤ Update TFTCS40 Entry Header

Using Entr_No and Other_Recon_Cd in not blank (set on) as selection criteria (all versions)
Setting Other_Recon_Rea_Cd to 'HPD R&D'

- If Other_Recon_Cd in TFTCS40 Entry Header = '001' (Value Reconciliation)

- Consider audit passed
- Continue to next audit

➤ Otherwise

➤ Fail Audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNR' (OTHER RECON BUS REASON AUDIT)

Audt_Grp_Cd	'HEADER'
Err_No	'5919' (FLAG VAL INCORR-HPD)
Audt_Fail_Tx	From TFTCS40 Entry Header: 'BROKER='xxx 'OTHER FLAG='xxx

- Continue to next audit
- ◆ Otherwise (Other reconciliation code is set off)
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNR' (OTHER RECON BUS REASON AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5917' (FLAG MISSING – HPD)
Audt_Fail_Tx	<blank>

- Continue to next audit
- Otherwise (entry has HPD R & D recon invoice and non-recon HPD invoice)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNR' (OTHER RECON BUS REASON AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5921' (MIXED HPD INVOICES)
Audt_Fail_Tx	Show 1 invoice failing criteria from TFTCS41 Entry Invoice Header: 'DIV='x 'INV='xxxxxxxxxxxxxxxxxxxxxxxxxxxx'

- ◆ If Other_Recon_Cd in TFTCS40 Entry Header is not blank (set on)
 - Update TFTCS40 Entry Header
 - Using Entr_No
 - and Other_Recon_Cd not blank (set on) as selection criteria (all versions)
 - Setting Other_Recon_Rea_Cd to 'UNKNOWN'
 - ◆ Continue to next audit

➤ Service Parts Royalty Reconciliation

Check to see if at least one part on entry is subject to Service Parts Royalty:

Read joining the TFTCS43 Entry Invoice Detail to the TFTCS10 TCS Item Master

Using Entr_No and Com_Invc_Seq_No as the join key to the TFTCS43 Entry Invoice Detail

And Item_ID and Vndr_Cd as the join key to the TFTCS10 TCS Item Master

Using Entr_No in the TFTCS40 Entry Header

And Rylty_Typ_Cd = 'S'

and Last_Vrsn_Fl in TFTCS43 Entry Invoice Detail = 'Y' as selection criteria

Check to see if vendor subject to service parts royalty:

Read the TFTCS21 Vendor Master

Using Vndr_Cd as the key

and Rylty_Typ_Cd of TFTCS21 Vendor Master = 'S' as selection criteria

If one or more records found by selects (entry has at least 1 item & vendor is subject to Service Parts Royalty)

- ◆ If Other_Recon_Cd in TFTCS40 Entry Header is not blank (set on)

- Update TFTCS40 Entry Header

Using Entr_No

and Other_Recon_Cd not blank (set on) as selection criteria (all versions)

Setting Other_Recon_Rea_Cd to 'SP RYLT'

- If Other_Recon_Cd in TFTCS40 Entry Header = '001' (Value Recon)

- Consider audit passed

- Continue to next audit

- Otherwise (not Value Recon)

- Fail Audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNR' (OTHER RECON BUS REASON AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5920' (FLAG VAL INCORR-SRV PRT RYLT)
Audt_Fail_Tx	From TFTCS40 Entry Header: 'BROKER='xxx 'OTHER FLAG='xxx

- Continue to next audit

- ◆ Otherwise (Other recon code is set off)

- Fail Audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNR' (OTHER RECON BUS REASON AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5918' (FLAG MISSING – SRV PRT RYLT)
Audt_Fail_Tx	<blank>

- Continue to next audit
- **Otherwise** (Does not meet business requirements for either type of reconciliation)
 - If Other_Recon_Cd in TFTCS40 Entry Header is not blank (set on)
 - ◆ Update TFTCS40 Entry Header
 - Using Entr_No and Other_Recon_Cd not blank (set on) (all versions)
 - Setting Other_Recon_Rea_Cd to 'UNKNOWN'
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNR' (OTHER RECON BUS REASON AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5916' (UNKNOWN BUSINESS REASON)
Audt_Fail_Tx	From TFTCS40 Entry Header: 'BROKER='xxx 'OTHER FLAG='xxx

- ◆ Continue to next audit

5) Other Recon Mult Vendor Audit

- If Other_Recon_Cd in TFTCS40 Entry Header is not blank (set on)
 - Using a DB2 cursor:
 - Read TFTCS41 Entry Invoice Headers
 - Selecting distinct Vndr_Cd's
 - Using Entr_No from TFTCS40 Entry Header
 - and Last_Vrsn_FL = 'Y' for selection criteria
 - If more than 1 Vndr_Cd for entry
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNV' (OTHER RECON MULT VENDOR AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5922' (MULTIPLE VENDORS FOUND)
Audt_Fail_Tx	Show 2 vendors from TFTCS41 Entry Invoice Header cursor: 'VENDORS='xxxxxxxx xxxxxxxxx

- ◆ Continue to next audit

- Otherwise (only 1 Vendor on entry)
 - ◆ Consider audit passed
 - ◆ Continue to next audit
- Otherwise (other recon code not set on)
 - Consider audit passed
 - Continue to next audit

6) Recon Broker Audit

- If Other_Recon_Cd in TFTCS40 Entry Header is not blank (set on)
Or If NAFTA_Recon_Fl in TFTCS40 Entry Header is not blank (set on)
 - Search Customs Broker Core Table
Using Brkr_Filer_Cd from TFTCS40 Entry Header as selection criteria
 - If (Other_Recon_Cd in TFTCS40 Entry Header is not blank (set on)
And Recon_Brkr_Cd in Customs Broker Core Table not 'OTHER' or 'BOTH')
Or (NAFTA_Recon_Fl in TFTCS40 Entry Header is not blank (set on)
And Recon_Brkr_Cd in Customs Broker Core Table not 'NAFTA' or 'BOTH')
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	0
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'RCNB' (RECON BROKER AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5923' (BROKER NOT SETUP TO DO RECON)
Audt_Fail_Tx	Brkr_Filer_Cd & Recon Flags From TFTCS40 Entry Header, Recon_Brkr_Cd from Customs Broker Core Table: 'BRKR='xxx' 'AGRMNT='xxxxxx' 'NAFTA='x' 'OTHER='xxx

- ◆ Continue
- Otherwise (Broker does correct type of reconciliation for AH)
 - ◆ Consider audit passed
 - ◆ Continue
- Otherwise (flags not set)
 - Consider audit passed
 - Continue

7) HMF Audit

One HMF exempt port of unlading currently is used by AH. In the future, if additional ports are utilized that are not subject to HMF, this routine, the batch entry version creation, and online amendment maintenance will need to be modified to exclude the new port code. Since HMF will be audited, it will quickly be obvious that our routines need maintenance.

- Set HMF Base Amount = TFTCS40 Entr_Vlu_Am
- If TFTCS40 MOT_Cd in (10,11)
 - And TFTCS40 Entr_Typ_Cd not = '11' or '31' (informal entries & warehouse withdrawals are excluded)
 - And TFTCS40 Expt_ISO_Ctry_Cd not in ('PR','GU','VI','AS','MP','UM') (imports from insular possessions are excluded)
 - And TFTCS40 USA_Port_Unldg_Cd not in ('3604') (excluded port of unloading)
- Perform subroutine **Calculate Fee Using TFTCS75 Customs Fee Schedule**
 - ◆ Fee Type = HMF
 - ◆ Fee base = HMF Base Amount
 - ◆ Entr_Dt = TFTCS40 Entr_Dt
- Otherwise
 - Let HMF_Am = 0
- If (calculated HMF_Amt = 0 and TFTCS40 HMF_Am not = 0)
 - Or (TFTCS40 HMF_Am is not between calculated HMF_Am - (TFTCS42 row count * .0050) (allow for rounding) and calculated HMF_Am + (TFTCS42 row count * .0100))
- Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	<blank>
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'HMF' (HMF AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5990' (Entry HMF Not Same As TCS Calc)
Audt_Fail_Tx	From TFTCS40 & Calculation: ENTRY=zzz.zzz.99 CALC=zzz.zzz.99
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

8) MPF Audit

MPF will be calculated in TCS with all 'Insular Possession' but no 'Least Developed Beneficiary Country' listed as excluded. In the future, if additional countries that are excluded from MPF are imported from by AHM, this routine, the batch entry version creation, and online amendment maintenance will need to be modified to exclude the country or SPI code. Most of this list of countries consists of third-world countries the Customs Dept has stated we will not be importing from. Also, if additional express consignment carrier facility or a small airport ports which are excluded are discovered they will need to be added. Since MPF will be audited, it will quickly be obvious that our routines need maintenance.

- Compute MPF Base Amount = summarized TFTCS42 Entr_Vlu_Am, counting qualified rows as TFTCS42 MPF row count
 - Bypass when TFTCS42 SPGL_Cd in ('CA','MX','E')
 - Bypass when TFTCS42 HTS_Trf_No01 like '98%'
 - Bypass when TFTCS42 ISO_COO_Cd in ('PR','GU','VI','AS','MP','UM') (Products made in insular possessions are excluded)
- If calculated MPF Base Amount > 0
 - If Entr_Typ_Cd = '11' (informal entry)

- ◆ If Entr_Port_Cd In ('1070','4772','2095','4197', (express consignment carrier facilities or small airport ports)
'4770','3991','2770','2991',
'1069','4181','2795','3195',
'4670','4195','2870','3196',
'1072','4196','3295')
 - Let MPF_Am = 0
- ◆ Otherwise
 - Let MPF_Am = 2.00
- Otherwise
 - ◆ Perform subroutine **Calculate Fee Using TFTCS75 Customs Fee Schedule**
 - Fee Type = MPF
 - Fee base = calculated MPF Base Amount
 - Entr_Dt = TFTCS40 Entr_Dt
- Otherwise
 - Let MPF_Am = 0
- If (calculated MPF_Am = 0 and TFTCS40 MPF_Am not = 0)
Or (TFTCS40 MPF_Am is not between calculated MPF_Am - (TFTCS42 MPF row count * .0050) (allow for rounding)
and calculated MPF_Am + (TFTCS42 MPF row count * .0100))
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	<blank>
Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'MPF' (MPF AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	'5991' (Entry MPF Not Same As TCS Calc)
Audt_Fail_Tx	From TFTCS40 & Calculation: ENTRY=zzz,zzz.99 CALC=zzz,zzz.99
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

9) Entry Balancing Audit

- Check various database summary amounts against summarized detail amounts. Audit will stop when first failure occurs. Include room for rounding differences.
- If failure, format TFTCS61 as below:

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS40 Entry Header
Com_Invc_No	<blank>

Com_Invc_Seq_No	0
Line_Item_Seq_No	0
Item_ID	<blank>
Div_Cd	<blank>
Entr_Vlu_Am	From TFTCS40 Entry Header
Audt_Cd	'BAL' (ENTRY BALANCING AUDIT)
Audt_Grp_Cd	'HEADER'
Err_No	See each check
Audt_Fail_Tx	'TOT='zzz,zzz,zzz.99- 'CALC='zzz,zzz,zzz.99- 'Seq='99999
Duty_Calc_Formula_Text	<blank>

- If TFTCS40 Entr_Vlu_Am not = sum(TFTCS41 Entr_Vlu_Am)
 - Fail Audit
 - ◆ Insert TFTCS61 Entry Audit Exception with message 5936 – (ENTRY ENTRD VAL NOT = TOT INV)
 - Continue to next audit
- Otherwise
 - If TFTCS40 Entr_Duty_Am not = sum(TFTCS42 Entr_Duty_Am)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5937 – (ENTRY DUTY NOT= TOT HTS)
 - ◆ Continue to next audit
 - Otherwise
 - If TFTCS40 Admp_Duty_Am not = sum(TFTCS42 Admp_Duty_Am)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5938 – (ENTRY ADD DUTY NOT= TOT HTS)
 - ◆ Continue to next audit
 - Otherwise
 - If TFTCS40 Cntrvail_Duty_Am not = sum(TFTCS42 Cntrvail_Duty_Am)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5939 – (ENTRY CVD DUTY NOT= TOT HTS)
 - ◆ Continue to next audit
 - Otherwise
 - If any TFTCS41 Entr_Vlu_Am not = sum(TFTCS42 Entr_Vlu_Am) (each invoice needs to be checked separately)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5940 – (INV ENTRD VAL NOT= TOT HTS)
 - ◆ Continue to next audit
 - Otherwise
 - If any (TFTCS41 Make_Mlt_Add_Am – Make_Mkt_Deduc_Am) not = sum(TFTCS43 Entr_Val_Am – (Ext_Val_Am * Unit_Price_Prrt_No)) (each invoice needs to be checked separately)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5941 – (INV MAKE MARKET NOT= TOT CI DTL)
 - ◆ Continue to next audit
 - Otherwise
 - If any TFTCS42 Entr_Vlu_Am not = sum(TFTCS43 Entr_Vlu_Am) (each HTS needs to be checked separately)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5942 – (HTS ENTRD VAL NOT= TOT CI DTL)
 - ◆ Continue to next audit

- Otherwise
 - If any $\text{TFTCS42 Admp_Duty_Am}$ not = $\text{sum(TFTCS43 Admp_Duty_Am)}$ (each HTS needs to be checked separately)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5943 – (HTS ADD DUTY NOT= TOT CI DTL)
 - ◆ Continue to next audit
- Otherwise
 - If any $\text{TFTCS42 Cntrvail_Duty_Am}$ not = $\text{sum(TFTCS43 Cntrvail_Duty_Am)}$ (each HTS needs to be checked separately)
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception with message 5944 – (HTS CVD DUTY NOT= TOT CI DTL)
 - ◆ Continue to next audit
- Otherwise
 - Consider audit passed

5. Payment Balancing Group Audits:

See separate Payment Balancing Specification

6. Product Group Audits:

-- The product or detailed CI line item level audits below are performed for each CI line item.

1) Item Master Audit

- Read the TFTCS10 Item Master
Using Item_ID
and CI_Stat_Cd in TFTCS10 TCS Item Master = 'FINALIZED'
and Entr_Dt in the TFTCS40 Entry Header > = Eff_Dt in TFTCS10 TCS Item Master
and (Expir_Dt in TFTCS10 TCS Item Master is nulls
or Entr_Dt in the TFTCS40 Entry Header <= Expir_Dt in TFTCS10 TCS Item Master) as selection criteria
- If record not found (look for future row that is FINALIZED)
Read the TFTCS10 Item Master using cursor
Using Item_Id
And CI_Stat_FI = 'FINALIZED'
And Entr_Dt in the TFTCS40 Entry Header < TFTCS10 Eff_Dt
as selection criteria
Order by Eff_Dt.
- I record not found (look for any status item master for date or in future)
Read the TFTCS10 Item Master using cursor
Using Item_Id
And (TFTCS10 Expir_Dt is nulls or TFTCS10 Expir_Dt >= Entr_Dt in the TFTCS40 Entry Header)
as selection criteria
Order by Eff_Dt.
- If record not found
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail

Audt_Cd	'ITEM' (ITEM MASTER AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5945' (INVALID ITEM ID)
Audt_Fail_Tx	<blank>
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

2) CI Line Item MID Audit

- If Fctry_Mfg_ID = TFTCS41 Sell_Mfg_ID
 - Consider audit passed
 - Continue to next audit
- Otherwise
 - If Fctry_Mfg_ID in TFTCS43 Entry Invoice Detail is blank
 - ◆ Fail audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'FMFR' (CI LINE ITEM MID AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5946' (MISSING DETAIL LINE ITEM MID)
Audt_Fail_Tx	<blank>
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise (Factory Manufacturer ID is not blank)
 - ◆ Read TFTCS20 MID Master
 - Using Fctry_Mfg_ID from TFTCS43 Entry Invoice Detail as selection criteria
 - ◆ If record not found
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'FMFR' (CI LINE ITEM MID AUDIT)
Audt_Grp_Cd	'PRODUCT'

Err_No	'5947' (INVALID CI LINE ITEM MID)
Audt_Fail_Tx	From TFTCS43 Entry Invoice Detail: 'DIV CD='x 'MFR ID='xxxxxxxxxxxx
Duty Calc Formula Text	<blank>

➤ Continue to next audit

- Otherwise
 - ◆ Consider audit passed

3) Country of Origin Audit

- Bypass audit if Item Master Audit failed.
- Canadian province should be translated to CA country code. If TFTCS42 ISO_COO_Cd in ('XA','XB','XC','XM','XN','XO','XP','XQ','XS','XY') use 'CA' for the audit, otherwise use code.
- If translated TFTCS42 ISO_COO_Cd not = TFTCS10 ISO_COO_Cd
 - Read joining TFTCS04 Product Attribute Control and TFTCS11 Product Attribute
Joining on Prod_Atr_Cd
Using TFTCS04 Prod_Atr_Grp_Cd = 'COO'
and TFTCS43 Item_ID = TFTCS11 Item_ID
and translated TFTCS42 ISO_COO_Cd = TFTCS11 Prod_Atr_Cd
and TFTCS10 Eff_Dt = TFTCS11 Eff_Dt as selection criteria
 - If record not found
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Inv_No	From TFTCS43 Entry Invoice Detail
Com_Inv_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'COO' (COUNTRY OF ORIGIN AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5948' (COO NOT ON MASTER)
Audt_Fail_Tx	From TFTCS42 & TFTCS10: 'ENTRY='xx 'MSTR='xx
Duty Calc Formula Text	<blank>

◆ Continue to next audit

- Otherwise
 - Consider audit passed

4) Extended Value Audit

- If TFTCS43 Ext_Vlu_Am = 0 and TFTCS43 Invc_Sale_Qy = 0
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
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Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'EVAL' (EXTENDED VALUE AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5992' (MISSING QUANTITY & UNIT PRICE)
Audt_Fail_Tx	From TFTCS43 'EXT VAL='zzz,zzz,zzz.99 'CALC='zzz,zzz,zzz.99
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
- If TFTCS43 Invc_Sale_Qy = 0
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'EVAL' (EXTENDED VALUE AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5993' (MISSING QUANTITY)
Audt_Fail_Tx	From TFTCS43 'EXT VAL='zzz,zzz,zzz.99 'CALC='zzz,zzz,zzz.99
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
- If TFTCS43 Ext_Vlu_Am = 0
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'EVAL' (EXTENDED VALUE AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5994' (MISSING UNIT PRICE)
Audt_Fail_Tx	From TFTCS43

	'EXT VAL='zzz,zzz,zzz.99 'CALC='zzz,zzz,zzz.99
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
- If TFTCS43 Ext_Vlu_Am not = Invc_Sale_Qy * Invc_Unit_Price_Am
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'EVAL' (EXTENDED VALUE AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5949' (EXT VAL NOT= QTY * UNIT COST)
Audt_Fail_Tx	From TFTCS43 'EXT VAL='zzz,zzz,zzz.99 'CALC='zzz,zzz,zzz.99
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
 - Consider audit passed

5) Special Item Flagging Audit

- Bypass audit if Item Master Audit failed
- Read with cursor joining TFTCS04 Product Attribute Control and TFTCS11 Product Attribute
Joining on Prod_Atr_Cd
Using TFTCS04 Prod_Atr_Grp_Cd = 'AUDIT'
and TFTCS43 Item_ID = TFTCS11 Item_ID
and TFTCS10 Eff_Dt = TFTCS11 Eff_Dt as selection criteria
- If record found (use first record fetched)
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'SPEC' (SPECIAL ITEM FLAGGING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5952' (SPECIAL ITEM ON ENTRY)
Audt_Fail_Tx	Prod_Atr_Cd From TFTCS11 Product Attribute

	'REASON='xxxxxxxxxxxxxx
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

6) GSP Inactive Audit (and flagging of entry in TFTCS40)

- Only perform this audit if Entr_Vrsn_No = 1
- If TFTCS42 SPGI_Cd = 'A '
 - and TFTCS42 Duty_Rate_Amt > 0
- Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'GSP' (GSP INACTIVE AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5963' (INACTIVE GSP PGM ON ENTRY)
Audt_Fail_Tx	'RATE='zzzz.999999%
Duty Calc Formula Text	<blank>

- Update TFTCS40
 - Using Entr_No and Entr_Vrsn_No as selection criteria
 - Set GSP_lact_Flag = 'Y'
- Continue to next audit
- Otherwise
 - Consider audit passed

The remaining product audits depend on output from the **Make-An-Entry-Duty-Calc FTCS61** called module, which takes the entry invoice item information, reads the various duty related tables, performs duty calculation, and passes back information needed to file a customs entry. The following audits compare these values to what was submitted on the entry. Since the item master is critical to this process, if the **Item Master Audit** failed, The calling of this routine and all remaining audits can be bypassed.

Call **Make-An-Entry-Duty-Calc FTCS61** module

Passing the following columns:

Item_Id of TFTCS43
 Entr_Dt of TFTCS40
 Invc_Sale_Qy of TFTCS43
 Entr_Vlu_Am of TFTCS43
 ISO_COO_Cd of TFTCS42

7) Primary HTS Audit

If TFTCS42 HTS_Trif_No01 first 4 digits = '9801'
and Make-An-Entry-Duty-Calc HTS_Trif_No01 first 4 digits not = '9801'

- Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'HTS1' (PRIMARY HTS AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5954' (9801 NOT ON MASTER)
Audt_Fail_Tx	'ENTRY='xxxx.xx.xxxx 'MASTER='xxxx.xx.xxxx
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - ***** The 5955 message will not display as the AGR/9801 logic is commented out in the duty calc module
 - If TFTCS42 HTS_Trif_No01 first 4 digits not = '9801'
and Make-An-Entry-Duty-Calc HTS_Trif_No01 first 4 digits = '9801'
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'HTS1' (PRIMARY HTS AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5955' (9801 MISSING ON ENTRY)
Audt_Fail_Tx	'ENTRY='xxxx.xx.xxxx 'MASTER='xxxx.xx.xxxx
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
 - ◆ If TFTCS42 HTS_Trif_No01 first 4 digits = '9801'
and Make-An-Entry-Duty-Calc HTS_Trif_No01 first 4 digits = '9801'
 - Consider Audit Passed
 - Continue to next audit
 - ◆ Otherwise
 - If TFTCS42 HTS_Trif_No01 not = Make-An-Entry-Duty-Calc HTS_Trif_No01
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'HTS1' (PRIMARY HTS AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5957' (PRIMARY HTS CODE INCORRECT)
Audt_Fail_Tx	'ENTRY='xxxx.xx.xxxx 'MASTER='xxxx.xx.xxxx
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

8) Secondary HTS Audit

- Make sure secondary HTS is okay
- If TFTCS42 HTS_Trif_No01 first 4 digits = '9801'
 - and Make-An-Entry-Duty-Calc HTS_Trif_No01 first 4 digits not = '9801' (Primary HTS already got error on 9801)
 - ◆ Consider audit passed
 - ◆ Continue to next audit
- Otherwise
 - If TFTCS42 HTS_Trif_No02 not = Make-An-Entry-Duty-Calc HTS_Trif_No02
 - ◆ If TFTCS42 HTS_Trif_No01 like '9801%'
 - and TFTCS42 HTS_Trif_No02 = ''
 - Consider audit passed (Missing on entry for 9801 is okay (secondary HTS is optional for 9801))
 - Continue to next audit
 - ◆ Otherwise
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'HTS2' (SECONDARY HTS AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5958' (SECONDARY HTS CODE INCORRECT)
Audt_Fail_Tx	'ENTRY='xxxx.xx.xxxx 'MASTER='xxxx.xx.xxxx
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise

- ◆ Consider audit passed

9) Special Program Ind Audit

- If Primary HTS audit failed, bypass this audit
- If Make-An-Entry-Duty-Calc Duty-Calc-Err-Msg-ID = '5892' (Missing Spec Pgm Duty Rate)
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'SPI' (SPECIAL PROGRAM IND AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5982' (MISSING SPEC PGM DUTY RATE)
Audt_Fail_Tx	'ENTRY='x 'MASTER='x
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - If TFTCS42 SPGL_Cd not = Make-An-Entry-Duty-Calc SPGL_Cd
 - ◆ If TFTCS42 SPGL_Cd = ''
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'SPI' (SPECIAL PROGRAM IND AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5960' (SPI MISSING ON ENTRY)
Audt_Fail_Tx	'ENTRY='x 'MASTER='x
Duty Calc Formula Text	<blank>

- Continue to next audit
- ◆ Otherwise
 - If Make-An-Entry-Duty-Calc SPGL_Cd = ''
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail

Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'SPI' (SPECIAL PROGRAM IND AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5961' (SPI NOT ON MASTER)
Audt_Fail_Tx	'ENTRY='x 'MASTER='x
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'SPI' (SPECIAL PROGRAM IND AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5962' (INCORRECT SPI)
Audt_Fail_Tx	'ENTRY='x 'MASTER='x
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - ◆ Consider audit passed

10) Duty Calculation Audit

- If Primary HTS Audit, Secondary HTS Audit, or Special Program Indicator Audit failed, bypass this audit.
- If Make-An-Entry-Duty-Calc Duty-Calc-Err-Msg-ID = '5983' (Duty Comp Code Not Supported)
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'DUTY' (DUTY CALCULATION AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5983' (DUTY COMP CODE NOT SUPPORTED)

Audt_Fail_Tx	'COMPUTATION CODE='x
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - If Make-An-Entry-Duty-Calc Duty-Calc-Err-Msg-ID = '5984' (Rptg Factor Reqd for Duty Calc)

- ◆ Fail Audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'DUTY' (DUTY CALCULATION AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5984' (RPTG FACTOR REQD FOR DUTY CALC)
Audt_Fail_Tx	'COMPUTATION CODE='x
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
 - If Make-An-Entry-Duty-Calc Duty-Calc-Err-Msg-ID = '5985' (Missing Duty Rate On Master)

- ◆ Fail Audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'DUTY' (DUTY CALCULATION AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5985' (MISSING DUTY RATE ON MASTER)
Audt_Fail_Tx	'HTS='xxxx.xx.xxxx xxxx.xx.xxxx
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
 - ◆ If TFTCS42 Duty_Rate_Amt not = Make-An-Entry-Duty-Calc Duty_Rate_Amt (check null ind & flag from Make-An-Entry-Duty-Calc)

- Fail Audit:

- Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail

Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'DUTY' (DUTY CALCULATION AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5964' (DUTY RATE INCORRECT)
Audt_Fail_Tx	'ENTRY='zzzz.999999%' 'MSTR='zzzz.999999%' 'CMP='x
Duty Calc Formula Text	Make-An-Entry-Duty-Calc Duty-Calc-Formula-Tx

- Continue to next audit
- ◆ Otherwise
 - If TFTCS43 Entr_Duty_Amt not = Make-An-Entry-Duty-Calc Entr_Duty_Amt
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'DUTY' (DUTY CALCULATION AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5965' (DUTY CALCULATION INCORRECT)
Audt_Fail_Tx	'ENTRY='zzz.zzz.zzz.99' 'MSTR='zzz.zzz.zzz.99' 'CMP='x
Duty Calc Formula Text	Make-An-Entry-Duty-Calc Duty-Calc-Formula-Tx

- Continue to next audit
- Otherwise
 - Consider audit passed

11) Primary UOM Audit

- If Primary HTS Audit or Secondary HTS Audit failed, bypass this audit.
- If TFTCS42 Unit_Mesr_Cd01 not = Make-An-Entry-Duty-Calc Unit_Mesr_Cd01
And Make-An-Entry-Duty-Calc Unit_Mesr_Cd01 not = 'X'
- Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'UOM1' (PRIMARY UOM AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5966' (PRIMARY UOM INCORRECT)
Audt_Fail_Tx	'ENTRY='xxx' 'MASTER='xxx

Duty Calc Formula Text	<blank>
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- Continue to next audit
- Otherwise
 - Consider audit passed

12) Primary Rptg Qty Calc Audit

- If Primary HTS Audit or Secondary HTS Audit failed, bypass this audit.
- If Make-An-Entry-Duty-Calc Duty Computation Code in ('1','3','4','6')
 - If Missing-Rpt-Fctr-Pt01-FI = 'Y'
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'QTY1' (PRIMARY RPTG QTY CALC AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5967' (PRIMARY RPTG QTY FACTOR MISSING)
Audt_Fail_Tx	'ENTRY='xxx 'MASTER='xxx 'CMP='x
Duty Calc Formula Text	Make-An-Entry-Duty-Calc Duty-Calc-Formula-Tx

- ◆ Continue to next audit
- Otherwise
 - ◆ ***** Bypassing this audit due to difficulty in processing item master to get reporting factor (different for each item)
 - ◆ If TFTCS42 Net_Rpt_Qy01 not= sum of all detail level (TFTCS43 Invc_Sale_Qy * Make-An-Entry-Duty-Calc Rpt_Fctr_Pt01)
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'QTY1' (PRIMARY RPTG QTY CALC AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5968' (REPORTING QTY1 CALC ERROR)
Audt_Fail_Tx	'DTL=' zzz,zzz,zzz.99 'SUM='zzz,zzz,zzz.99
Duty Calc Formula Text	Make-An-Entry-Duty-Calc Duty-Calc-Formula-Tx

- Continue to next audit
- ◆ Otherwise
 - Consider audit passed

13) Secondary UOM Audit

- If Primary HTS Audit or Secondary HTS Audit failed, bypass this audit.
- If TFTCS42 Unit_Mesr_Cd02 not = Make-An-Entry-Duty-Calc Unit_Mesr_Cd02
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'UOM2' (SECONDARY UOM AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5969' (SECONDARY UOM INCORRECT)
Audt_Fail_Tx	'ENTRY='xxx 'MASTER='xxx
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

14) Secondary Rptg Qty Calc Audit

- If Primary HTS Audit or Secondary HTS Audit failed, bypass this audit.
- If Make-An-Entry-Duty-Calc Duty Computation Code in ('2','3','5','6')
 - If Missing-Rpt-Fctr-Pt02-FI = 'Y'
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'QTY2' (SECONDARY RPTG QTY CALC AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5970' (SECONDARY RPTG FACTOR MISSING)
Audt_Fail_Tx	'ENTRY='xxx 'MASTER='xxx 'CMP='x
Duty Calc Formula Text	Make-An-Entry-Duty-Calc Duty-Calc-Formula-Tx

- ◆ Continue to next audit
- Otherwise
 - ◆ If TFTCS42 Net_Rpt_Qy02 not= sum of all detail level (TFTCS43 Invc_Sale_Qy * Make-An-Entry-Duty-Calc Rpt_Fctr_Pt02)
 - ***** Bypassing this audit due to difficulty in processing item master to get reporting factor (different for each item)

- Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'QTY2' (SECONDARY RPTG QTY CALC AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5971' (SECONDARY RPTG QTY CALC ERROR)
Audt_Fail_Tx	'DTL=' zzz,zzz,zzz.99 'SUM=' zzz,zzz,zzz.99
Duty Calc Formula Text	Make-An-Entry-Duty-Calc Duty-Calc-Formula-Tx

- Continue to next audit
- ◆ Otherwise
 - Consider audit passed

15) Other Government Agency Audit

- If Make-An-Entry-Duty-Calc FCC_FI = 'Y' and TFTCS42 FCC_FI not = 'Y'
 Or Make-An-Entry-Duty-Calc FDA_FI = 'Y' and TFTCS42 FDA_FI not = 'Y'
 Or Make-An-Entry-Duty-Calc DOT_FI = 'Y' and TFTCS42 DOT_FI not = 'Y'
- Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'OGA' (OTHER GOV AGENCY AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5953' (INVALID OGA)
Audt_Fail_Tx	List missing values not on entry that are on prod attribute: 'MISSING=' xxx xxx xxx
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
 - ◆ Consider audit passed

16) Anti-Dumping Audit

- If Make-An-Entry-Duty-Calc Admp_Case_No not = ''
 And TFTCS42 Admp_Case_No = ''

- Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'ADD' (ANTI-DUMPING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5972' (ADD MISSING ON ENTRY)
Audt_Fail_Tx	'CASE='xxxxxxxxxxxx
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - If Make-An-Entry-Duty-Calc Admp_Case_No = ''
And TFTCS42 Admp_Case_No not = ''
 - ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'ADD' (ANTI-DUMPING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5973' (ADD NOT ON MASTER)
Audt_Fail_Tx	'CASE='xxxxxxxxxxxx
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
 - ◆ If TFTCS42 Admp_Case_No not = Make-An-Entry-Duty-Calc Admp_Case_No
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'ADD' (ANTI-DUMPING AUDIT)

Audt_Grp_Cd	'PRODUCT'
Err_No	'5974' (INVALID ADD CASE)
Audt_Fail_Tx	'ENTRY='xxxxxxxxxxxxx 'MSTR='xxxxxxxxxxxxx
Duty_Calc_Formula_Text	<blank>

- Continue to next audit
- ◆ Otherwise
 - If TFTCS42 Admp_Rate_Am not = Make-An-Entry-Duty-Calc Admp_Rate_Am
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'ADD' (ANTI-DUMPING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5975' (INVALID ADD RATE)
Audt_Fail_Tx	'ENTRY='zzz.999999% 'MSTR='zzz.999999%
Duty_Calc_Formula_Text	<blank>

- Continue to next audit
- Otherwise
 - If TFTCS43 Admp_Duty_Am not = Make-An-Entry-Duty-Calc Admp_Duty_Am
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'ADD' (ANTI-DUMPING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5976' (INCORRECT ADD DUTY CALC)
Audt_Fail_Tx	'ENTRY='zzz,zzz,zzz.99 'MSTR='zzz,zzz,zzz.99
Duty_Calc_Formula_Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

17) Countervailing Audit

- If Make-An-Entry-Duty-Calc Cntrvail_Case_No not = ''
And TFTCS42 Cntrvail_Case_No = ''

- Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'CVD' (COUNTERVAILING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5977' (CVD MISSING ON ENTRY)
Audt_Fail_Tx	'CASE='xxxxxxxxxxxx
Duty Calc Formula Text	<blank>

- Continue to next audit
- Otherwise
 - If Make-An-Entry-Duty-Calc Cntrvail_Case_No = ''
And TFTCS42 Cntrvail_Case_No not = ''

- ◆ Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'CVD' (COUNTERVAILING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5978' (CVD NOT ON MASTER)
Audt_Fail_Tx	'CASE='xxxxxxxxxxxx
Duty Calc Formula Text	<blank>

- ◆ Continue to next audit
- Otherwise
 - ◆ If TFTCS42 Cntrvail_Case_No not = Make-An-Entry-Duty-Calc Cntrvail_Case_No
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'CVD' (COUNTERVAILING AUDIT)

Audt_Grp_Cd	'PRODUCT'
Err_No	'5979' (INVALID CVD CASE)
Audt_Fail_Tx	'ENTRY='xxxxxxxxxxxxx 'MSTR='xxxxxxxxxxxxx
Duty_Calc_Formula_Text	<blank>

- Continue to next audit
- ◆ Otherwise
 - If TFTCS42 Cntrvail_Rate_Am not = Make-An-Entry-Duty-Calc Cntrvail_Rate_Am
 - Fail Audit:
 - Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'CVD' (COUNTERVAILING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5980' (INVALID CVD RATE)
Audt_Fail_Tx	'ENTRY='zzz.999999% 'MSTR='zzz.999999%
Duty_Calc_Formula_Text	<blank>

- Continue to next audit
- Otherwise
 - If TFTCS43 Cntrvail_Duty_Am not = Make-An-Entry-Duty-Calc Cntrvail_Duty_Am
 - Fail Audit:
 - ◆ Insert TFTCS61 Entry Audit Exception

Data Mapping	
Column Name	Data Population
Entr_No	From TFTCS43 Entry Invoice Detail
Com_Invc_No	From TFTCS43 Entry Invoice Detail
Com_Invc_Seq_No	From TFTCS43 Entry Invoice Detail
Line_Item_Seq_No	From TFTCS43 Entry Invoice Detail
Item_ID	From TFTCS43 Entry Invoice Detail
Div_Cd	From TFTCS10 Item Master
Entr_Vlu_Am	From TFTCS43 Entry Invoice Detail
Audt_Cd	'CVD' (COUNTERVAILING AUDIT)
Audt_Grp_Cd	'PRODUCT'
Err_No	'5981' (INCORRECT CVD DUTY CALC)
Audt_Fail_Tx	'ENTRY='zzz,zzz,zzz.99 'MSTR='zzz,zzz,zzz.99
Duty_Calc_Formula_Text	<blank>

- Continue to next audit
- Otherwise
 - Consider audit passed

VI. Subroutines:

Calculate Fee Using TFTCS75 Customs Fee Schedule:

- 1) Read TFTCS75 Customs Fee Schedule
 - Using Fee Type
 - and Entr_Dt >= Fee_Strt_Dt
 - and (Fee_End_Dt is null or Entr_Dt <= Fee_End_Dt) as selection criteria
- 2) If Record Found
 - Compute Fee Amount = Fee Base * TFTCS75 Fee_Rate_Am
 - If TFTCS75 Fee_Min_Lim_Am > 0
 - If Fee Amount < TFTCS75 Fee_Min_Lim_Am
 - Move TFTCS75 Fee_Min_Lim_Am to Fee Amount.
 - If TFTCS75 Fee_Max_Lim_Am > 0
 - If Fee Amount > TFTCS75 Fee_Max_Lim_Am
 - Move TFTCS75 Fee_Max_Lim_Am to Fee Amount.
- 3) Otherwise (Fee was not active on entry date)
 - Set Fee Amount = 0

VII. File & Table Layouts:

File Layouts:

Input Parameters

Element Name	Definition	Format	Examples	Comment
Adhoc-Exec-Fl	Designates whether this is an ad-hoc run, which means the parameters need to be retrieved from TFTCS06 Transmission Log.	Char(1)	Y N	Yes No
Routine-Audit-Parms	Execution parameters, passed through job parameters for routine executions and through TFTCS06 Transmission Log for ad-hoc executions.	Char(100)		See layout below.

Working Storage:

W/S Audit Exec & Date Parms

Element Name	Definition	Format	Examples	Comment
Filler	For display purposes only from transmission log.	Char(6)	READT=	
Re-audit-Passed-Audits-Fl	Determines which entries contained in the date range will be audited. Will reduce re-work when audits are re-run for the same date range.	Char(1)	Y N U	Audit All Entries Bypass Passed Audits Audit Un-Audited Only
Filler	For display purposes only from transmission log.	Char(5)	HDR=	
Header-Grp-Audit-Fl	Designates whether Header audits should be executed.	Char(1)	Y N	Yes No
Filler	For display purposes only from transmission log.	Char(6)		No longer used
Filler	For display purposes only from transmission log.	Char(5)	INV=	
Invoice-Grp-Audit-Fl	Designates whether Invoice audits should be executed.	Char(1)	Y N	Yes No
Filler	For display purposes only from transmission log.	Char(5)	PB=	
Pymt-Bal-Grp-Audit-Fl	Designates whether Payment Balancing audits should be executed.	Char(1)	Y N	Yes No
Filler	For display purposes only from transmission log.	Char(5)	PRD=	
Product-Grp-Audit-Fl	Designates whether Product audits should be executed.	Char(1)	Y N	Yes No
Filler	For display purposes only from transmission log.	Char(5)	DTS=	
From-Entr-Dt	Beginning entry date.	Date	01/01/2003 <blank>	Either a date range or offsets must be specified.
Filler	For display purposes only from transmission log.	Char(1)	-	

Element Name	Definition	Format	Examples	Comment
To-Entr-Dt	Ending entry date.	Date	01/31/2003 <blank>	Either a date range or offsets must be specified.
Filler	For display purposes only from transmission log.	Char(5)	DYS=	
From-Entr-Offset-Days-Qy	Used to calculate the From-Entr-Dt; the number of days offset from the Current date.	Char (3)	000 010	Either a date range or offsets must be specified.
Filler	For display purposes only from transmission log.	Char(1)	-	
To-Entr-Offset-Days-Qy	Used to calculate the To-Entr-Dt; the number of days offset from the Current date.	Char (3)	028 060	Either a date range or offsets must be specified.
Filler	For display purposes only from transmission log.	Char(5)	SEL=	
Select-Criteria-Tx	Optional selection criteria fields to further limit the entries to be audited, such as entry number.	Char(20)	11234567890	Optional. This will so far be used for ad-hoc runs submitted by the users.

Make-An-Entry-Duty-Calc Input Parameters:

Element Name	Definition	Format	Comment
Item-ID	Item ID	Char(18)	
Entr-Dt	Entry or other date to be used to access the item master and various rate related tables.	Date	
Inv-Sales-Qty	Invoice sales quantity. Always in physical units.	Integer	
Entr-Vlu-Am	Entered value amount	Dec(12,2)	
COO-ISO-Cd	Country of origin of line item, may contain province for Canada.	Char(2)	

Make-An-Entry-Duty-Calc Output Parameters:

Element Name	Definition	Format	Initialize	Comment
Parm-Out-Item-Eff-Dt	Effective date for item in TFTCS10.	Date	“ “	
Parm-Out-AH-Cstm-Shrt-Tx	Customs short description of item.	Char(40)		
Parm-Out-Alt-Item-ID	Contains the alternate Item ID. Only pertains to kits when an alternate is specified in TFTCS12 Component Items.	Char(18)	“ “	
Parm-Out-Alt-Item-Eff-Dt	Effective date for alternate item in TFTCS10.	Date	“ “	
Parm-Out-Orig-HTS-Trf-No01	Original HTS tariff access by using Item id.	Char(10)	“ “	
Parm-Out-HTS-Trf-No01	Primary HTS tariff	Char(10)	“ “	
Parm-Out-HTS-Trf-No02	Secondary HTS tariff. Only present for kits using an alternate HTS or when U.S. Goods Returned (9801 in primary HTS).	Char(10)	“ “	
Parm-Out-Rpt-Fctr-Pt01	Primary reporting factor from item master	Dec(14,7)	0	

Element Name	Definition	Format	Initialize	Comment
Parm-Out-Net-Rpt-Qy01	Primary reporting quantity	Dec(12,2)	0	
Parm-Out-Unit-Mesr-Cd01	Primary reporting unit of measure	Char(3)	‘ ‘	
Parm-Out-Rpt-Fctr-Pt01	Secondary reporting factor from item master	Dec(14,7)	0	
Parm-Out-Net-Rpt-Qy02	Secondary reporting quantity	Dec(12,2)	0	
Parm-Out-Unit-Mesr-Cd02	Secondary reporting unit of measure	Char(3)	‘ ‘	
Parm-Out-Orig-Duty-Rate-Am	Original duty rate, before applying 9801 or any special program (expressed as a %).	Dec(12,8)	0	
Parm-Out-Null-Orig-Duty-Rate-Fl	Designates original duty rate could not be expressed as a percent/factor due to complex duty calc.	Char(1)	‘N’	
Parm-Out-Duty-Rate-Am	Duty rate (expressed as a %).	Dec(12,8)	0	
Parm-Out-Null-Duty-Rate-Fl	Designates duty rate could not be expressed as a percent/factor due to complex duty calc.	Char(1)	‘N’	
Parm-Out-Entr-Duty-Am	Duty amount	Dec(12,2)	0	
Parm-Out-USA-Goods-Rtn-Fl	Flag denoting U.S. Goods returned using 9801 per product attribute.	Char(1)	‘ ‘	
Parm-Out-SPGI-Cd	Special program indicator	Char(2)	‘ ‘	
Parm-Out-Admp-Case-No	Anti-dumping case	Char(10)	‘ ‘	
Parm-Out-Admp-Rate-Am	Anti-dumping duty rate (expressed as a %)	Dec(7,4)	0	
Parm-Out-Admp-Duty-Fl	Anti-dumping bond flag	Char(1)	‘ ‘	
Parm-Out-Admp-Duty-Am	Anti-dumping duty amount	Dec(12,2)	0	
Parm-Out-Cntrvail-Case-No	Countervailing case	Char(10)	‘ ‘	
Parm-Out-Cntrvail-Rate-Am	Countervailing duty rate (expressed as a %)	Dec(7,4)	0	
Parm-Out-Cntrvail-Duty-Fl	Countervailing bond flag	Char(1)	‘ ‘	
Parm-Out-Cntrvail-Duty-Am	Countervailing duty amount	Dec(12,2)	0	
Parm-Out-Duty-Compu_Cd	Duty computation code, designates which formula was used for duty calculation	Char(1)	, ,	
Parm-Out-Duty-Calc-Formula-Tx	Character representation showing how duty was calculated. Used for researching duty calculation audit exceptions and debugging.	Char(120)	‘ ‘	
Parm-Out-FCC-Fl	Designates OGA FCC required.	Char(1)	‘ ‘	
Parm-Out-FDA_Fl	Designates OGA FDA required.	Char(1)	‘ ‘	
Parm-Out-DOT-Fl	Designates OGA DOT required.	Char(1)	‘ ‘	
Parm-Out-Duty-Calc-Successful-Fl	Flag set if duty calculation was successful.	Char(1)	‘N’	
Parm-Out-Duty-Calc-Err-Msg-ID	Error message from duty calculation	Char(4)	‘ ‘	5945 – Invalid Item ID 5984 – Rptg Factor Req'd for Duty Calc Missing 5983 – Duty Comp Code Not Supported 5982 – Missing Spec Pgm Duty Rate 5985 – Missing Duty Rate on Master

Element Name	Definition	Format	Initialize	Comment
Parm-Out-Missing-Rpt-Fctr-Pt01-Fl	Flag set if reporting measurement 1 code is present but there is no factor on the item master.	Char(1)	'N'	
Parm-Out-Missing-Rpt-Fctr-Pt02-Fl	Flag set if reporting measurement 2 code is present but there is no factor on the item master.	Char(1)	'N'	

DB2 Table Layouts:

Only new tables added for entry audits are shown here. All other layouts can be found in TCS Tables directory.

TFTCS60 Entry Audit Group Statistics

Element Name	Definition	Format	Examples	Comment
Entr_No	U.S. Customs entry number. First three digits represent the Brkr_Filer_Cd.	Char(11)	12312345671	
Audt_Grp_Cd	Group of internal entry audits within entry. Used as control point for audit execution and statistical reporting. Audit level, whether the audit is automated or manual, and user preference should be considered when an audit group is assigned.	Char(10)	HEADER INVOICE PYMT BAL PRODUCT	Header Invoice Payment Balancing Product
Brkr_Filer_Cd	Identifies Customs Broker, first three digits of the entry number. Most audit reporting will be by Customs Broker.	Char(3)	004	Redundantly stored for reporting and queries.
Entr_Dt	Customs entry date.	Date		Redundantly stored in results table for statistical reporting and easy audit selection.
Entr_Vrsn_No	Version of entry used for group audit.	Smallint		
Audt_Run_Ts	Timestamp of audit job run.	TS		
Audt_Grp_Rslt_Cd	Summary result of entry audit for group.	Char(1)	P F U	All Passed One or more failed Un-audited
Audt_Grp_Pass_No	Count passing audit group.	Int		
Audt_Grp_Fail_No	Count failing audit group.	Int		
Audt_Grp_Uadt_No	Count un-audited in audit group.	Int		
Audt_Grp_Pass_Am	Entry Value passing audit group.	Dec(18,2)		
Audt_Grp_Fail_Am	Entry Value failing audit group.	Dec(18,2)		
Audt_Grp_Uadt_Am	Entry Value un-audited in audit group.	Dec(18,2)		
Cret_Tmstmp_Dt	Standard TCS audit data.	TS		
Last_Upd_Tmstmp_Dt	Standard TCS audit data.	TS		

Element Name	Definition	Format	Examples	Comment
Last_Upd_User_Nm	Standard TCS audit data.	Char(30)		

TFTCS61 Entry Audit Exception

Element Name	Definition	Format	Examples	Comment
Entr_No	U.S. Customs entry number. First three digits represent the Brkr_Filer_Cd.	Char(11)	12312345671	
Audt_Grp_Cd	Group of internal entry audits within entry. Used as control point for audit execution and statistical reporting. Audit level, whether the audit is automated or manual, and user preference should be considered when an audit group is assigned.	Char(10)	HEADER INVOICE PYMT BAL PRODUCT	
Com_Invc_No	Entry commercial invoice number, present for Invoice & Product level audits.	Char(22)		
Com_Invc_Seq_No	Sequence number of commercial invoice within Customs entry. Present for Invoice & Product level audits..	Smallint		
Line_Item_Seq_No	Entry commercial invoice line item number. Only present for Product level audits.	Int		
Item_ID	Entry item ID. Only present for Product level Audits	Char(18)		
Audt_Cd	Abbreviated name of internal entry audit.	Char(4)	See audit table in Narrative Section	
Err_No	Error message number for failure reason for internal entry audit; key to TFTCS03 TCS Error Messages table.	Char(4)	5901 5933	
Div_Cd	Product division code from TFTCS10 TCS Item Master. Only present for Product level Audits.	Char(1)		From Item master, not invoice header.
Entr_Vlu_Am	Entered value of audit exception.	Dec(18,2)		
Audt_Fail_Tx	Failure data for internal entry audit to help with resolution.	Char(40)	See audit table in Narrative Section	
Cret_Tmstp_Dt	Standard TCS audit data.	TS		
Last_Upd_Tmstp_Dt	Standard TCS audit data.	TS		
Last_Upd_User_Nm	Standard TCS audit data.	Char(30)		
Duty_Calc_Frml_x	Duty Calculation formula.	Char(120)		

TFTCS62 Entry Audit Group Definition (not accessed, for reference only)

Element Name	Definition	Format	Examples	Comment
Audt_Grp_Cd	Group of internal entry audits within entry. Used as control point for audit execution and	Char(10)	HEADER INVOICE	

Element Name	Definition	Format	Examples	Comment
	statistical reporting. Audit level, whether the audit is automated or manual, and user preference should be considered when an audit group is assigned.		PYMT BAL PRODUCT	
Audt_Grp_Nm	Name of audit group, used in reporting.	Char(20)	HEADER INVOICE PAYMENT BALANCING PRODUCT	
Cnt_Hdr_Tx	Descriptive heading for reporting of counts for audit group.	Char(9)	ENTRY INVOICE LINE ITEM	For Header For Invoice & Pymt Bal For Product
Audt_Grp_Seq_No	Sort sequence of group for reporting.	Char(1)	1 2 3 4 5 6	Header No Longer Used No Longer Used Invoice Pymt Bal Product
Cret_Tmstmp_Dt	Standard TCS audit data.	TS		
Last_Upd_Tmstmp_Dt	Standard TCS audit data.	TS		
Last_Upd_User_Nm	Standard TCS audit data.	Char(30)		

TFTCS63 Entry Audit Definition (not accessed, for reference only)

Element Name	Definition	Format	Examples	Comment
Audt_Cd	Abbreviated name of internal entry audit.	Char(4)	TYPE BOND DOCS ITEM See audit table in Narrative Section for complete list	
Audt_Rpt_Seq_No	Sort sequence for reporting of internal entry audit exceptions.	Char(3)	102 104 106 110 112 114 402 404 406 408 502	TYPE BOND CB RCNR RCNV RCNB DIV SMFR VEND RLTD PYMT

Element Name	Definition	Format	Examples	Comment
			602 604 606 608 610 612 614 616 622	ITEM HTS DUTY COO MFR SPI ADD CVD OGA
Audt_Grp_Cd	Group of internal entry audits within entry. Used as control point for audit execution and statistical reporting. Audit level, whether the audit is automated or manual, and user preference should be considered when an audit group is assigned.	Char(10)	HEADER INVOICE PYMT BAL PRODUCT	
Audt_Nm	Descriptive name of internal entry audit.	Char(30)	See audit table in Narrative Section	
Atmtc_Audt_Fl	Designates whether audit is automated or manual. Only results for manual audits will be entered online.	Char(1)	Y N	Automated Manual
Audt_Tx	Description of entry audit, for documentation purposes only.	Char(100)	See audit table in Narrative Section	
Cret_Tmstmp_Dt	Standard TCS audit data.	TS		
Last_Upd_Tmstmp_Dt	Standard TCS audit data.	TS		
Last_Upd_User_Nm	Standard TCS audit data.	Char(30)		

TFTCS65 Customs Broker Master

Element Name	Definition	Format	Examples	Comment
Brkr_Filer_Cd	Customs Filer number which identifies the Customs Broker. First 3 digits of the entry number.	Char(3)	004 012	Eagle Tower
Cstm_Brkr_Nm	Customs Broker Name.	Char(25)	DB HASTINGS	
AH_Brkr_POA_Fl	Denotes whether AH has a legal agreement with the Broker.	Char(1)	Y N	Yes No
Elec_Entr_Frmt_Cd	Designates whether the Customs Broker is sending us Customs Entry history, and how the data is formatted.	Char(8)	NONE SIMPLE DETAILED	
Recon_Brkr_Cd	Designates whether the Broker has an agreement to prepare reconciliation entries for AH, and which type of reconciliation they will do.	Char(6)	NAFTA OTHER BOTH NONE	NAFTA Other Both NAFTA & Other No Recon Agreement
Cret_Tmstmp_Dt	Standard TCS audit data.	TS		

Element Name	Definition	Format	Examples	Comment
Last_Upd_Tmstmp_ Dt	Standard TCS audit data.	TS		
Last_Upd_User_Nm	Standard TCS audit data.	Char(30)		

VIII. Revision Log

Revision Date	Purpose
05/08/02	First draft MS2A..
05/13/02	Incorporated changes from User review including Entry Type Audit and Bond Type Audit and enhanced division translation for M/C Racing & HPD.
05/15/02	Incorporated changes from 1 st spec walk-through, including addition of Div_Cd to the audit exception table.
05/21/01	Finalize logical DB2 layouts & input parameter processing.
06/07/02	Final Version. Finalized data names and logic to access TFTCS10 TCS Item Master.
08/14/2002	First draft MS2B.
08/20/2002	Changes per walk-thru and addition of duty calculation formula field to TFTCS61.
08/21/2002	Added new product attribute group to COO audit.
08/28/2002	Changed OGA flag processing to get values from duty calc routine and changed for message lds from duty calc routine.
09/10/2002	Added HMF and MPF audits.
10/03/2002	Tweaked calcs for HMF and MPF after reviewing production entries.
10/09/2002	Added substitution of CA country code for province in COO audit for Canada.
10/14/2002	Make secondary HTS optional for 9801 and add dataname for GSP inactive flag.
10/28/2002	Update spec with various tweaks & corrections done during coding & testing, including Entry Packet Audits in 2A (table TFTCS35), correction of date offset calc to subtract offset days, allowance of any combo of offset & date used in input parms, use of cursor for input parms, & determination of royalty vendor from vendor master.
11/5/2002	<ul style="list-style-type: none"> Modifications to MS2A audits to be implemented in early MS2B implementation including the addition of 2 more valid entry types, change in TFTCS10 access in division audit/translation and service parts royalty, treatment of related flag on entry ' ' is the same as 'N', and addition of MID to related party audit failure text. Remove reporting quantity calcs due to complexity of item master access (still check UOM & reporting factor) Remove HTS kit message from HTS 1 audit. Add 2 more reads to Item Master if FINALIZED master for entry date is not found. Correct duty calc audit to check TFTCS43 Entr_Duty_Am against calc instead of TFTCS42. Bypass duty calc audit if HTS1/2 or SPI fail Bypass UOM & Reporting quantity audits if HTS1/2 fail. Only perform GSP audit if first version.
11/6/2002	Add HMF port exclusion logic.
12/11/2002	Post November Implementation. <ul style="list-style-type: none"> Add separate errors for Missing Qty & Unit Cost, Missing Quantity, and Missing Unit Cost to extended value audit. Do not error secondary HTS if primary HTS got 9801 not on master error. Add unit price pro-ratio factor logic to balancing audit for make market charges.
01/23/2003	Correct to update all versions with the other recon flag set for HPD unknown.
04/01/2003	Added duty calc error 5984, Rptg Factor Req'd for Duty Calc
07/01/2003	Combined MS2A & Change spec for MS2B. Removed Entry packet, Electronic Entry, and Manual Doc audits. Add recent audit changes: Mult divisions of A & B okay if Canadian entry, bypass SPI audit if Primary HTS audit fails, clear vendor code in TFTCS41 if vendor translation audit fails.

Exhibit 8

Trade Compliance System Tests (ISD Version)

System: Classification **Subsystem:** HTS On-Line **Tester:** Mitchell Neriah **Test Date:** 07/05/02 **Environment:** GREEN
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

ID	Screen Name	Validation	Test Conditions	Results	Test Notes	Status
1.	Inquiry	Screen Appearance	<p><u>Controls:</u> Enter HTS Number</p> <p><u>Commands:</u> <u>Inquire</u> Enter HTS #s with: 1 2 3 4 5 6 7 8 9 10 11 12digits, with and w/o periods, and w/ periods in the wrong place) (1) Enter invalid HTS#s -- 8888.88.8888, 7326.90.9909, 0401.30.2500) (2) Enter valid HTS# (8206.00.0000, 5911.90.0080, 6506.10.6030)</p> <p><u>Get History</u> Enter HTS #s with: 1 2 3 4 5 6 7 8 9 10 11 12digits, with and w/o periods, and w/</p>	<p>Error Message: "Enter a Valid HTS Number. HTS Number must be at least 4-10 numbers" displayed</p> <p>Entered all combinations of HTS#s from 1 to 12 digits in length, with and w/o decimals, and system returned good results. Also tried to place multiple decimal points at the beginning and middle and end of HTS#, and system returned good results</p> <p>For HTS#s entered with 1-7, and 9, 11-12 digits: Error Message: "Enter a Valid HTS Number. HTS Number must be at least 4-10 numbers" displayed</p> <p>For 8 and 10 digit numbers, displayed record and Message stating "No History Record Found for HTS# XXXX.XX.XXXX" (Even if the HTS # is not on the table)</p>	<p>TCS Will not accept 13 or more characters in ENTER HTS NUMBER field (limit to 12 characters) System will ignore decimal points</p> <p>TCS will allow a partial search for INQUIRY mode only. For Get History, Add, and Modify, User must enter valid HTS#</p> <p>TCS will accept any 8 or 10 digit number to search for history. Does not validate if the HTS# is found on the table as a valid record, but does validate HTS# format (8 or 10 digits)</p> <p>GET HISTORY command will appear only if history exists for a record</p>	<p>GREEN</p> <p>GREEN</p> <p>GREEN</p> <p>GREEN</p> <p>GREEN</p>

Trade Compliance System Tests (ISD Version)

System: Classification **Subsystem:** HTS On-Line Tester **Tester:** Mitchell Neriah **Test Date:** 07/05/02 **Environment:**
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

				periods in the wrong place) (3) Enter invalid HTS#s – 8888.88.8888, 7326.90.9909, 0401.30.2500) (4) Enter valid HTS# (8206.00.0000, 5911.90.0080, 6506.10.6030) Add Modify			For MODIFY, must enter valid HTS (HTS must be in a valid format and be found	
2.	Inquiry	Navigation	Standard TCS Links				GREEN	
3.	Inquiry	Functions	Inquire Use HTS# 4202.92.3031 as test case (Neriah added this HTS# for Year 2000 and 2001) Get History Use HTS# 4202.92.3031 as test case (Neriah added this HTS# for Year 2000 and 2001) Add (1) Add HTS# in invalid format, with Effective Date in future, with Expiry Date earlier than Eff Date. (2) Add an existing HTS# (4202.92.3031) (3) Add w/ an invalid date (5) Add w/o mandatory fields (Eff Date, Description, Duty Comp Code) Modify HTS and EFF Date should be protected fields.				GREEN	
4.	Inquiry	Authorization	Used three levels of Sys Admin Authorization				With Read Only, Modify and ADD commands do not appear.	GREEN
5.	Inquiry Summary List	Screen Appearance	Controls: Enter HTS Number (1) (Enter HTS #s with 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12 & 13 digits, with and w/o periods, and w/ periods in the wrong place) (2) Enter invalid HTS#s – 8888.88.8888, 7326.90.9909, 0401.30.2500) (3) Enter valid HTS# (8206.00.0000, 5911.90.0080, 6506.10.6030) <u>Display Grid:</u> HTS Number Eff Date				GREEN	

Trade Compliance System Tests (ISD Version)

System: Classification Subsystem: HTS On-Line Tester Tester: Mitchell Neriah Test Date: 07/05/02 Environment:
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

				Exp Date Description <u>Commands:</u> Inquire Get History Add Modify Standard TCS Links Standard Group Links <u>Application Links:</u> HTS Number to Inquiry Detail Next 10 Inquire Get History Add Modify Used three levels of Sys Admin Authorization <u>Controls</u> Enter HTS Number (Enter HTS #s with 1, 2, 3,4,5,6,7,8,9,10, 11, 12 digits, with and w/o periods, and w/ periods in the wrong place) Enter invalid HTS#s – 8888.88.8888, 7326.90.9909, 0401.30.2500) Enter valid HTS# (8206.00.0000, 5911.90.0080, 6506.10.6030) <u>Display:</u> HTS Number Description Exp Date Quota Indicator Use 4202.92.3031) Add'l Tariff Ind (Use 8205.90.0000, 6103.21.0020, 9608.50.0000, 9005.90.4000 and 8206.00.0000) Visa Cat (Use 6202.93.1000, 6202.93.2010, 6202.99.9011, 6202.99.9021) Duty Comp Code For "0" use 4901.99.0050 For "1" use 0502.10.0000 For "2" use 8524.99.4000		
6.	Inquiry Summary List	Navigation				GREEN
7.	Inquiry Summary List	Functions				GREEN
8.	Inquiry Summary List	Authorization				GREEN
9.	Detail Inquiry	Screen Appearance				GREEN

Trade Compliance System Tests (ISD Version)

System: Classification Subsystem: HTS On-Line Tester: Mitchell Neriah Test Date: 07/05/02 Environment:
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

		<p>For "3" use 9105.19.3030 For "4" use 2916.12.1000 For "5" use 9606.21.4000 For "6" use 9106.10.0000 For "7" use 8708.99.6790 For "9" use 8206.00.0000 For "X" use 9114.90.3000 Unit of Measure 1 & 2 Use 3926.20.4010 for DOZ PRS Use 3926.20.9010 for DOZ Use 3926.30.1000 for KG Use 3926.40.0000 for X Use 3926.20.3000 for NO Use 3926.90.1500 for GROSS ADD Indicator Use 8482.10.5044 Use 7318.21.0030 CVD Indicator Use 7208.10.3000 GSP Excluded Countries (1) Use 8409.91.50 for AR, BR (2) Use 8450.90.20 for EC (3) Use 9405.30.00 for TH OGA Codes Use 8519.99.0045 for FD2 Use 8527.21.1005 for FC4 and FD2 Use 8703.24.0068 for DT2 SPI Use 8483.50.4000 for A,C,CA,E,I,J,MX="0", JO=2.8% Use 8483.60.8000 for A+B,C,CA,D,E,I,L,J,JO,MX Use 3926.20.3000 for A*,CA,E,I,L,J,JO,MX Display Grid: Duty Rate: Col 1, Specific, Ad valorem, Other Col 2, Specific, Ad valorem, Other Special, Specific, Ad valorem, Other Commands: (For Enter HTS#) Inquire, Get History, Modify, Add (For Displayed Record) Modify, Add Like Previous Record Next Record</p>	<p>For 8409.91.5010, the U.S. Customs Tape did not list "AR" as a GSP Excluded country. M. Neriah expired the record and added a new record (Eff 1/2/02) to include both BR and AR as GSP excluded countries</p>	<p>The HTS application works correctly</p>	
			<p>In Modify Mode, 1. Visa Cat No field validates for numeric values only For Duty Rates, validates values for 9999.99999999 format</p>		

Trade Compliance System Tests (ISD Version)

System: Classification **Subsystem:** HTS On-Line **Tester:** Mitchell Neriah **Test Date:** 07/05/02 **Environment:**
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

10.	Detail Inquiry	Navigation	Standard TCS Links Previous Record Next Record (For Enter HTS#) Inquire, Get History, Modify, Add (For Displayed Record) Modify, Add Like Used three levels of Sys Admin Authorization			GREEN
11.	Detail Inquiry	Functions				GREEN
12.	Detail Inquiry	Authorization				GREEN
13.	Modify	Screen Appearance	Controls Enter HTS Number Description Exp Date Quota Indicator Add'l Tariff Ind Visa Category Use a Cat # not = to 3 digits Duty Comp Code Unit of Measure 1,2 &3 Reason for Change ADD Indicator CVD Indicator OGA Codes Duty Rate: Col 1, Specific, Ad valorem, Other Col 2, Specific, Ad valorem, Other Special, Specific, Ad valorem, Other Commands: (For Enter HTS#) Inquire, Get History, Modify, Add (For Displayed Record) Save, Cancel, Clear	Duty Comp Code is mandatory -- error message displays if not entered		GREEN
14.	Modify	Navigation	Standard TCS Links			GREEN
15.	Modify	Functions	(For Enter HTS#) Inquire, Get History, Modify, Add (For Displayed Record) Save, Cancel, Clear			GREEN
16.	Modify	Authorization	Used three levels of Sys Admin Authorization			GREEN
17.	Add	Screen Appearance	Controls Enter HTS Number HTS Number Description Eff Date Exp Date Quota Indicator Add'l Tariff Ind			GREEN

G:\ahmfin\TCS\TCS Classification\TCS Classification Testing\Classification System and UAT Test Cases\TestCase_HTS_01.doc

Page 5 of 8

Status: RED = Show stopper Issues; YELLOW = Issues w/ workarounds; GREEN = No Issues

Trade Compliance System Tests (ISD Version)

System: Classification **Subsystem:** HTS On-Line Tester **Tester:** Mitchell Neriah **Test Date:** 07/05/02 **Environment:**
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

				Visa Category Duty Comp Code Unit of Measure 1,2 &3 ADD Indicator CVD Indicator GSP Excluded Countries OGA Codes SPI Duty Rate: Col 1,Specific, Ad valorem, Other Col 2,Specific, Ad valorem, Other Special, Specific, Ad valorem, Other Commands: (For Enter HTS#) Inquire, Get History, Modify (For Displayed Record) Save, Cancel, Clear			
18.	Add	Navigation		Standard TCS Links Once record is saved, User goes back to Detail Inquiry (For Enter HTS#) Inquire, Get History, Modify (For Displayed Record) Save, Cancel, Clear Used three levels of Sys Admin Authorization			GREEN
19.	Add	Functions		Controls Enter HTS Number HTS Number Description Eff Date Exp Date Quota Indicator Add'l Tariff Ind Visa Category Duty Comp Code Unit of Measure 1,2 &3 ADD Indicator CVD Indicator GSP Excluded Countries OGA Codes SPI Duty Rate: Col 1,Specific, Ad valorem, Other Col 2,Specific, Ad valorem, Other Special, Specific, Ad valorem, Other			GREEN
20.	Add	Authorization					GREEN
21.	Add Like	Screen Appearance					GREEN

G:\ahmf\TCS\TCS Classification\TCS Classification Testing\Classification System and UAT Test Cases\TestCase_HTS_01.doc

Page 6 of 8

Status: RED = Show stopper Issues; YELLOW = Issues w/ workarounds; GREEN = No Issues

Trade Compliance System Tests (ISD Version)

System: Classification **Subsystem:** HTS On-Line Tester: Mitchell Neriah **Test Date:** 07/05/02 **Environment:**
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

				<u>Commands:</u> (For Enter HTS#) Inquire, Get History, Modify (For Displayed Record) Save, Cancel, Clear				
22.	Add Like	Navigation		Standard TCS Links Once record is saved, User goes back to Detail Inquiry				GREEN
23.	Add Like	Functions		(For Enter HTS#) Inquire, Get History, Modify (For Displayed Record) Save, Cancel, Clear				GREEN
24.	Add Like	Authorization		Used three levels of Sys Admin Authorization				GREEN
25.	History Summary	Screen Appearance		<u>Controls:</u> Enter HTS Number <u>Display Grid:</u> HTS Number Exp Date Description <u>Commands:</u> Inquire Get History Add Modify				GREEN
26.	History Summary	Navigation		Standard TCS Links Link to HTS Detail (HTS Number)				GREEN
27.	History Summary	Functions		For Enter HTS# Inquire, Get History, Modify, Add				GREEN
28.	History Summary	Authorization		Used three levels of Sys Admin Authorization				GREEN
29.	History Detail	Screen Appearance		<u>Controls:</u> Enter HTS Number <u>Displayed:</u> HTS Number Description Exp Date Quota Indicator Add'l Tariff Ind Visa Category Duty Comp Code Unit of Measure 1,2 &3 ADD Indicator CVD Indicator				GREEN

Trade Compliance System Tests (ISD Version)

System: Classification Subsystem: HTS On-Line Tester: Mitchell Neriah Test Date: 07/05/02 Environment:
Objective: The purpose of testing the HTS On-line application is to validate that features function per design specifications and meet user expectations.

				GSP Excluded Countries OGA Codes SPI Duty Rate: Col 1, Specific, Ad valorem, Other Col 2, Specific, Ad valorem, Other Special, Specific, Ad valorem, Other <u>Commands:</u> Inquire Get History Add Modify			
30.	History Detail	Navigation		Standard TCS Links Previous Record Next Record Back to Current History Back to History List (For Enter HTS#) Inquire, Get History, Modify, Add Used three levels of Sys Admin Authorization			GREEN
31.	History Detail	Functions					GREEN
32.	History Detail	Authorization					GREEN

Trade Compliance System Tests (ISD Version)

System: Classification **Subsystem:** FC-CG **Tester:** Linda Head **Test Date:** 07/02 **Environment:** Q/A 98
Objective: The purpose of testing the FC-CG application is to validate that features function per design specifications and meet user expectations.

ID	Screen Name	Validation	Test Conditions	Results	Test Notes	Status
1.	Inquire Function Code	Screen Appearance	Controls: Product Group, Model Type, Function Code, Sel Tbl No, Commodity Group Display Grid: Edit, Delete, FCCG Key, Function Description, ABC, Commodity Group Commands: Inquire, Clear, Find Commodity Group, Add New, Go To Commodity Group, Previous, Next Standard TCS Links Standard Group Links Application Links: Find Commodity Group, Add New, Go To Commodity Group, Previous, Next Commodity Group, Edit, Delete, Add New, Save, Cancel	<ul style="list-style-type: none"> Font for Commodity Group pre-populated value is too light gray. Per Spec., model type includes "V". V is not on drop down list. Unclear on Inquiry results. When I inquire the only thing I get back that I don't already have is the FCCG Key and the ABC code 	Per Prateek, this indicates field is read only. Slightly confusing as box is white(enabled) yet value is gray to denote read only.	To Prateek 7/17
2.	Inquire Function Code	Navigation	Standard TCS Links Standard Group Links Application Links: Find Commodity Group, Add New, Go To Commodity Group, Previous, Next Commodity Group, Edit, Delete, Add New, Save, Cancel	Meets Expectations		Passed
3.	Inquire Function Code	Functions	Inquire, Clear, Edit, Delete, Add New, Save, Cancel	Meets Expectations		Passed
4.	Inquire Function Code	Authorization	Read Only, Update, Admin	Meets Expectations		Passed
5.	Commodity Group Listing	Screen Appearance (pop-up)	Controls: Directory Display Grid: Commodity Group Name, Selection Table No. Commands: OK, Cancel, Refresh Standard TCS Links Standard Group Links Application Links: OK, Cancel Directory display, Commodity Group select, OK, Cancel, Refresh	Meets Expectations		Passed
6.	Commodity Group Listing	Navigation	Standard TCS Links Standard Group Links Application Links: OK, Cancel	Queue links need to be removed		To Prateek 7/17
7.	Commodity Group Listing	Functions	Directory display, Commodity Group select, OK, Cancel, Refresh	Meets Expectations		Passed
8.	Commodity Group Listing	Authorization	Read Only, Update, Admin	Meets Expectations		Passed
9.	Add Function Code	Screen Appearance	Controls: HB Function Code, HB Product Group, Model Type, Selection Table No, Commodity Group, HB Function Desc, ABC Code Commands: Verify Details, Inquire, Commodity Group, Save, Cancel, Clear	Successfully Inserted vs Successfully Updated	Per Tony/Prateek per my suggestion, they will change to Successfully Added and/or Successfully Updated when data is modified.	To Prateek 7/17

G:\ahmf\TCS\TCS Classification\TCS Classification Testing\Classification System and UAT Test Cases\TestCase_FC-CG_01.doc

Trade Compliance System Tests (ISD Version)

System: Classification **Subsystem:** FC-CG **Tester:** Linda Head **Test Date:** 07/02 **Environment:** Q/A 98

Objective: The purpose of testing the FC-CG application is to validate that features function per design specifications and meet user expectations.

10.	Add Function Code	Navigation	Standard TCS Links Standard Group Links Application Links: Check Commodity Group, Find Commodity Group, Inquire, Commodity Group	Meets Expectations		Passed
11.	Add Function Code	Functions	Check Commodity Group, Find Commodity Group,	Meets Expectations		Passed
12.	Add Function Code	Authorization	Review authorization levels	Meets Expectations		Passed
13.	Product Group	Drop Down List	Attempt to select no longer valid product groups 6,7,8,9. (Combo box should only display 2,4,5)	Meets Expectations		Passed

Exhibit 9

TCS Tracking Report

FY03 - CLOSED Status

Issue	Title	Submitted	Description	Assigned To:	Description :	Target Date:	Priority
50	HB Update DT Data-Item Mstr Reason:	7/22/02 [Linda]	Ritchie	Is 01/01/0002 Valid?	No. Per Matt, load date should be 8/16/02..		2-Medium
51	Product Group Codes Classification-FC/CG Reason:	7/22/02 [Linda]	Prateek	Should be 3,4,5			2-Medium
52	Effective Date Data-Item Mstr Reason:	7/23/02 [Linda]	Ritchie	Is 01/01/0001 Valid?	No. Load Date per Matt should be 8/16/02..		2-Medium
53	Cache/Repost Error Classification-Netscape Reason:	7/23/02 [Linda]	Tony	Item Master Detail			3-Low
54	HTS Code Classification-Item Mstr Reason:	7/26/02 [Tom]	Prateek	Allow HTS Code Input with no decimal.			2-Medium
55	Add Features Classification-Item Mstr Reason:	7/26/02 [Linda]	Prateek	Too Many Steps to Add New Item.			3-Low
56	Mass Update Errors Classification-Item Mstr Reason:	7/26/02 [Tom]	Prateek	Selection Criteria Issues - Linda will retest			2-Medium

TCS Tracking Report

FY03 - CLOSED Status

Issue	Title	Submitted	Description	Assigned To:	Target Date:	Priority
29	Email Address Failure Lotus Notes-Q/A Reason:	7/3/02 [Linda]	Assigned To: Jim Description : Emails Undeliverable			1-High
30	TCS Logo Lotus Notes-Q/A Reason:	7/11/02 [Linda]	Assigned To: Jim Description : Logo/IR Form/Design			3-Low
31	Forms Appearance Lotus Notes-Q/A Reason:	7/11/02 [Linda]	Assigned To: Jim Description : Font/IR Form/Too Light			3-Low
32	Model Type List Classification-FC/CG Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : Is "Q" valid? Missing "V".			3-Low
33	Edit & Save Classification-FC/CG Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : Edits/Save Not Working			1-High
34	Function Description Leng Classification-FC/CG Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : 45 or 50? What's the length?			3-Low
35	Error Message Text Classification-COO Reason:	7/12/02 [Linda]	Assigned To: Prateek Description : Insert vs Update			3-Low

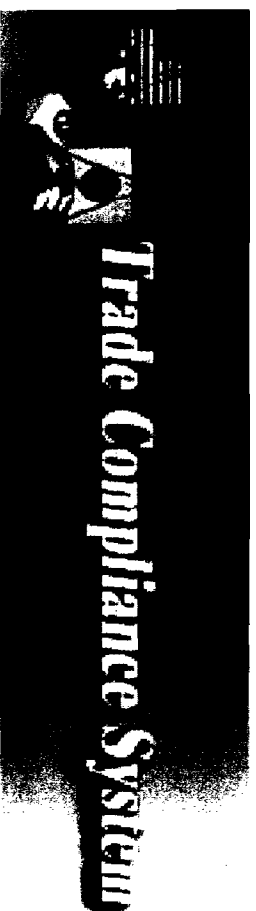
TCS Tracking Report

FY03 - CLOSED Status

Issue	Title	Submitted	Description	Assigned To:	Target Date:	Priority
36	Commands Classification-COO Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : Need Cancel Button			2-Medium
37	Label Name Classification-FC/CG Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : Drop AH from Commodity Grp			3-Low
38	Model Type Classification-FC/CG Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : Do Not Allow Non-Alphas			2-Medium
39	CommodityGroup Classification-FC/CG Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : S/B Read Only			2-Medium
40	ADD/CVD - Add Mode Classification-ADD/CVD Reason:	7/17/02 [Linda]	Assigned To: Prateek Description : Case #Hyperlink not working			2-Medium
41	List Has COO Twice Classification-MID Reason:	7/19/02 [Linda]	Assigned To: Ritchie Description : COO Data Load Error			2-Medium
42	MID Tip Screen Classification-MID Reason: Clarity	7/21/02 [Linda]	Assigned To: Prateek Description : Remove references to ISD table names(FTCS20) from screen. User should not see ISD table numbers on online screens. 10/15 - QA 98 = OK			3-Low

Exhibit 10

Customs Project Development



July 30, 2002

TCS Technical Architecture

- Web Based Design
- DB2 on Mainframe
- Batch COBOL
- Online VB/ASP
- Lotus Notes Q&A with HB

3-Level Classification Process

1-Classification (Classifier)

Parts Descriptions	Classification Process
Parts Diagrams	
Function / Commodity Group Table	
Criteria Sheets	
Tariff Book	

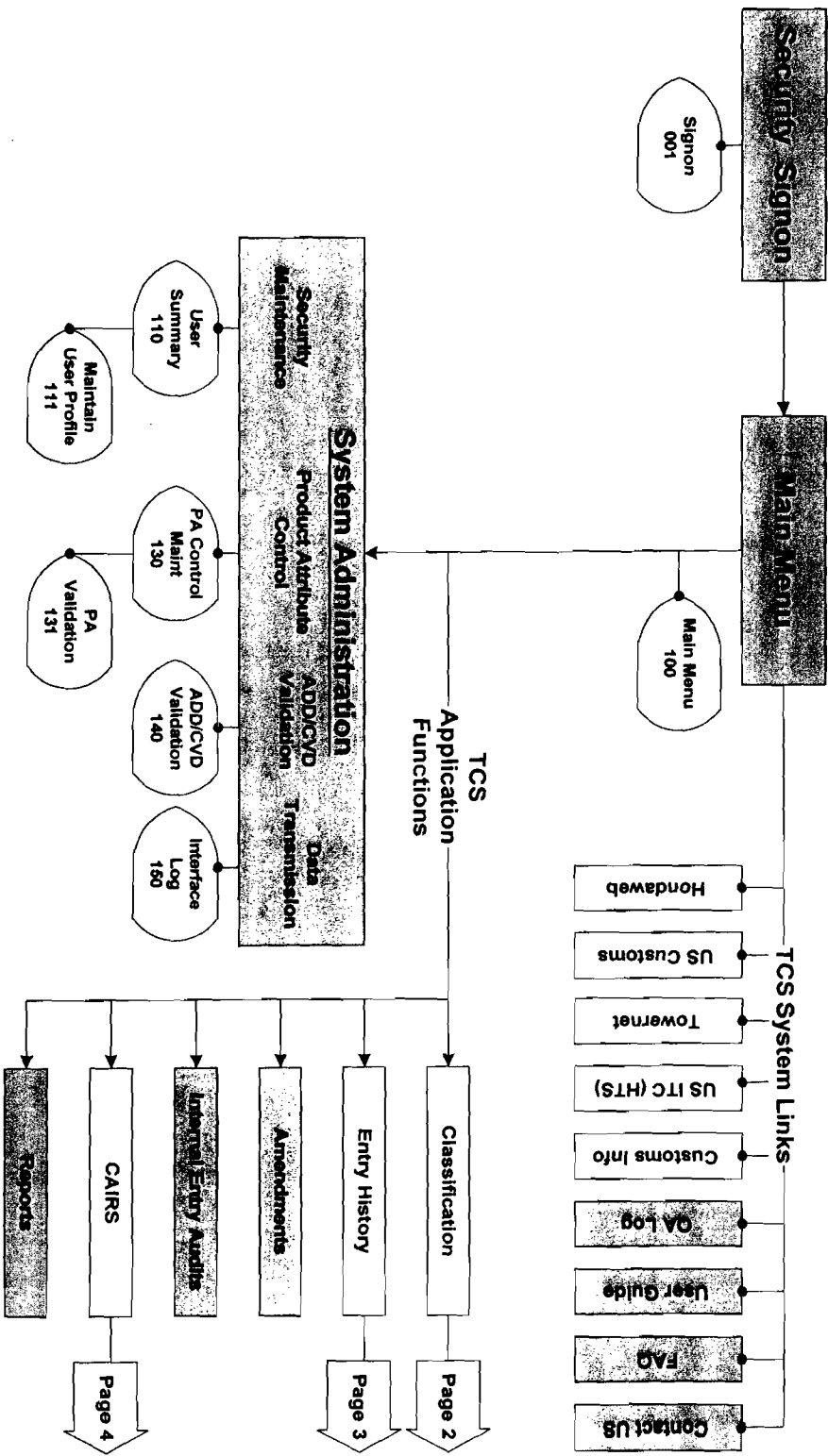
2-Audit (Auditor)

Classification Sources	Classification Process
Classified Parts	U.S. Customs Experience
Tool Set	

3-Management Review (Customs Manager)

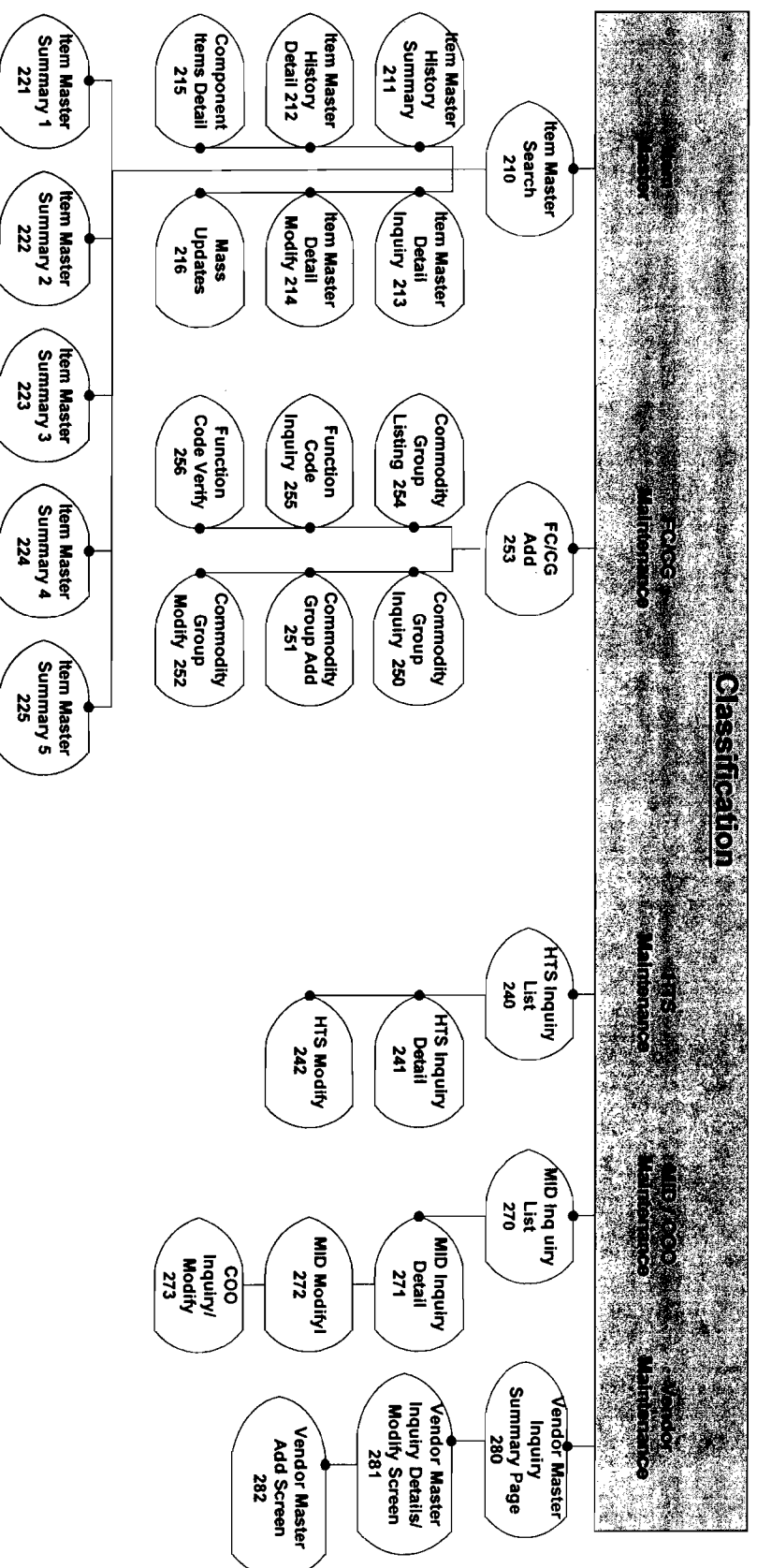
Classification Sources	Classification Process
Audit Sources	U.S. Customs Experience
Latest Rulings	Industry Knowledge
Ruling Requests	U.S. Customs Contacts
	Honda Specific Customs Issues

Trade Compliance System - Screen Flow



July 30, 2002

Trade Compliance System - Screen Flow



Trade Compliance System - Screen Flow

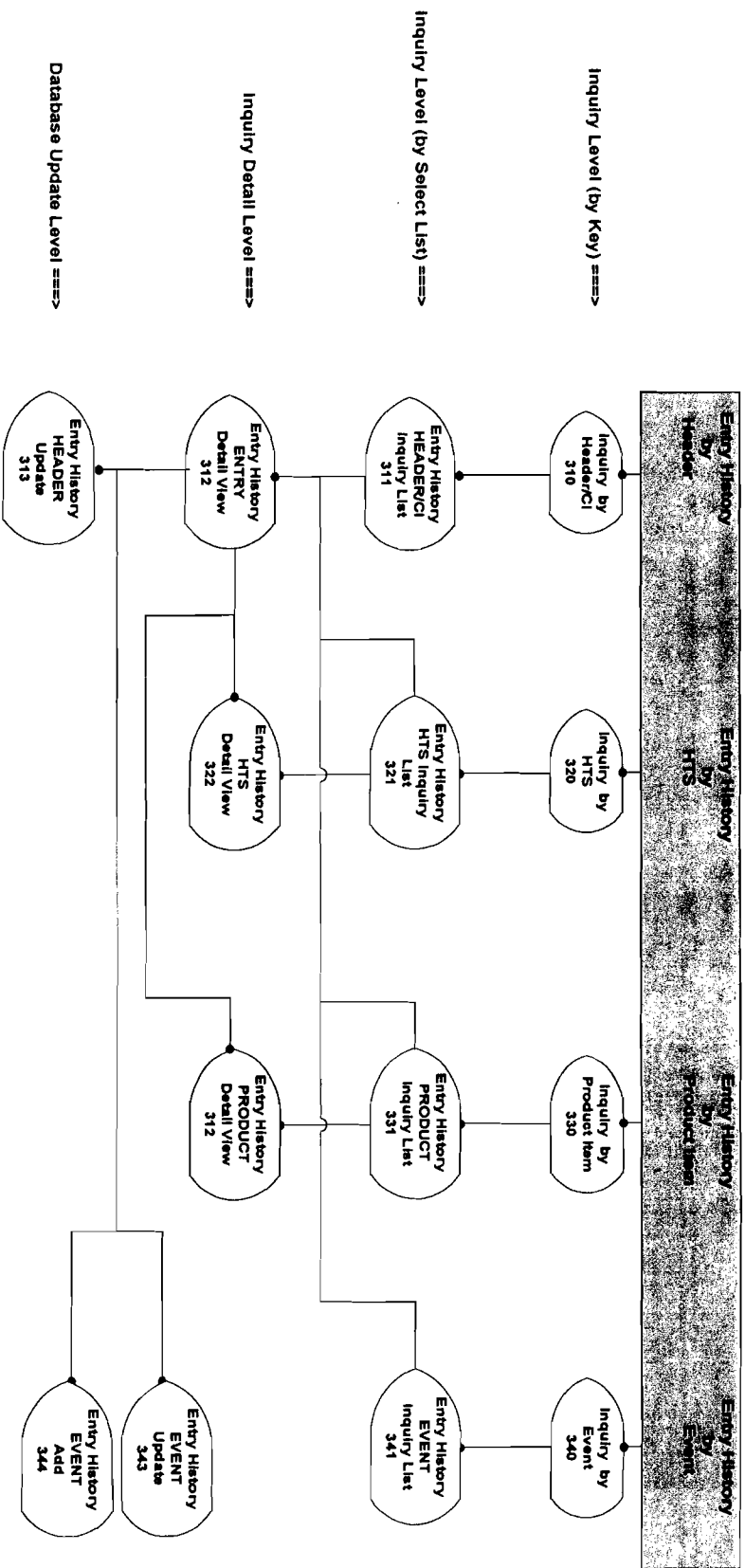


Exhibit 11



TCS User Acceptance Testing

Kickoff Session - August 1, 2002

Expectations

- A. Commitment to User Acceptance Test – 100% commitment is required during test hours for successful testing
- B. “TCS Is Our Friend” - become familiar with TCS functions
- C. Test all functions available for the August release
- D. We expect to encounter bugs - Record all unexpected results
- E. Separate actual bugs from Feature/Function enhancement requests (this release is frozen to changes)
- F. ISD will prioritize issues to focus on critical needs first
- G. ISD will provide suitable fixes/workarounds as quickly as possible
- H. ISD will provide daily status on issues
- I. Regression testing – Users must retest functions as issues are resolved
- J. Welcome Change! Change is Good! Learn to adapt TCS to your current business processes

1. Testing Environment

- Location: Bldg. 100 Room 2C2
- Hours: Morning Session = 9:00 to 11:00 AM. Afternoon Session = 2:00 to 4:00 PM (*Exception - This Friday)
- Terminals – 3 test terminals will be available
- Roles/Responsibilities:
 - Project Manager: Welcome/Kickoff - Rick Holmes
 - Support: ISD Systems Expert / Trainer is available during all test sessions
 - Group Leaders/Technicians: Tom Potts/Praateek Gulati, Jerry Laws/Shikha Jain, Ray Sanders/Mohammed Quamaruddeen
 - Trainers: Mitchell Neriaah, Earl Pacis, Issues Tracker – Linda Logger
 - Users Leaders: Denise Thorn, Mark Swift, Matt Halterman



Room Temperature is set to Comfort Level for all. Friendly Warning - PLEASE DO NOT TOUCH THERMOSTAT!

2. Test Boundaries

- TCS On-line and Q/A Lotus Notes Functions
- Check White Board Daily for Notes - Reflects functions available or not available
- Review TCS Home Page Handout (highlights features available/not ready for UAT)
- Testing rules – Ok to test all available functions. If function is not available then view only(no test results accepted)
- Browsers – IE only. Honda no longer supports Netscape.
- Security- During UAT, ISD will set-up user test authority levels (Read/Update)

3. On-line Testing Procedures

- Test Cases are provided (Classification)
- Users may test any available function
- ISD suggests:
 - A. Tester Completes Test Case Header
 - B. When Unexpected Results are encountered – review with ISD Systems Expert
 - Determine if new bug or already recorded
 - Determine priority (low, medium, high)
 - Determine action (record screen shot or other action)
 - C. Record Results on Test Case
 - D. Screen Shots - capture screens [Alt/Print Scrn] and paste [Ctrl/V] into Lotus - briefly describe issues
 - E. Forward issues to appropriate ISD Group Leader/Technician, copy trainer and Linda Logger
- Summarize results at the end of each session

4. Follow-Up Procedures

- A. All issues logged
- B. Issues reviewed with ISD technicians
- C. ISD technician sends update status to Linda/Group Leaders
- D. Review status daily(AH Customs/ISD – Initially twice a day at 9:00 AM and 3:00 PM)

5. Issues Log Format

- A. Review Sample
- B. Only User issues will be reviewed
- C. Log Contains: Date, System, Sub-system, Name, Assigned To, Description, Status, Priority
- D. Priorities: High = Showstopper, Medium = Function Fails/Work Around, Low = Cosmetic/Enhancement

Exhibit 12



Trade Compliance System

HONDA

Thursday, August 01, 2002

Welcome!

Jim

- ▶ **Hondaweb**
- ▶ **US Customs**
- ▶ **Fedex Trade Networks**
- ▶ **US ITC (HTS)**
- ▶ **Customs Info**
- ▶ **QA Log**
- ▶ **User Guide**
- ▶ **Contact Us**

▶ **Log Off**

System Administration

- ▶ Security Maintenance
- ▶ ADD/CVD Maintenance
- ▶ Product Attribute Control
- ▶ Data Transmission
- ▶ Reference Code Maint.

Classification

- ▶ Item Master
- ▶ FC/CG Tables
- ▶ HTS Maintenance
- ▶ MID/COO Master
- ▶ Vendor Master

Entry History

- ▶ Entry History by Header/CI
- ▶ Entry History by HTS
- ▶ Entry History by Product
- ▶ Entry History by Event

Amendments

- ▶ Review/Release Queue
- ▶ Amendment Group
- ▶ Amendment
- ▶ Product Adjustment

Internal Entry Audits

- ▶ Audit Results Reporting
- ▶ Audit Results
- ▶ Audit Submission
- ▶ Payment Exception Queue
- ▶ Vendor Payment

Reports

- ▶ Management Reports
- ▶ Operations Reports
- ▶ Customized Reports

Canadian Auto Import

- ▶ Recon Exception Aging
- ▶ Recon Exception Queue
- ▶ Recon Historical Summary
- ▶ Carrier Update

Exhibit 13

REQUESTOR: FTCS65

TRADE COMPLIANCE SYSTEM

INTERNAL ENTRY AUDITS

08/27/2002 10:37:24

AUDIT EXCEPTIONS BY CUSTOMS BROKER AND ENTRY

FOR: 05/29/2002 - 08/27/2002

SELECTION CRITERIA: ENTRY: - -

BROKER: 112 Tower Group International

INVOICE	LINE	PRODUCT	ENTERED VALUE	AUDIT	FAILURE REASON
ENTRY: 112-9837860-4 ENTRY DATE: 2002-07-19					
			\$9,320,712.00	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
192201107			\$1,369,170.00	Division Translation Audit	No Item Master Matches EP3352EW EP3362EW
				Selling Manufacturer Audit	Invalid Selling Mfr ID DIV CD=A MFR ID=GBHONMOT470BER
				Vendor Translation Audit	No Vendor Translation DIV CD=A MFR ID=GBHONMOT470BER
192201210			\$14,655.00	Selling Manufacturer Audit	Invalid Selling Mfr ID DIV CD=A MFR ID=GBHONMOT470BER
				Vendor Translation Audit	No Vendor Translation DIV CD=A MFR ID=GBHONMOT470BER
192201502			\$1,014,291.00	Division Translation Audit	No Item Master Matches EP3352EW EP3362EW
				Selling Manufacturer Audit	Invalid Selling Mfr ID DIV CD=A MFR ID=GBHONMOT470BER
				Vendor Translation Audit	No Vendor Translation DIV CD=A MFR ID=GBHONMOT470BER
192201605			\$6,922,596.00	Selling Manufacturer Audit	Invalid Selling Mfr ID DIV CD=A MFR ID=GBHONMOT470BER
				Vendor Translation Audit	No Vendor Translation DIV CD=A MFR ID=GBHONMOT470BER
ENTRY: 112-9841017-5 ENTRY DATE: 2002-07-06					
			\$24,504,343.00	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
114269911			\$26,904.00	Division Translation Audit	No Item Master Matches KA9652JTW NA2162PKW
				Vendor Translation Audit	No Vendor Translation DIV CD= MFR ID=JPHONMOT11TOK
114270104			\$800,487.00	Division Translation Audit	No Item Master Matches NA2162PKW NA2162PKW
114270307			\$5,590,832.00	Division Translation Audit	No Item Master Matches KA9652JTW KA9662JTW
114270308			\$1,497,952.00	Division Translation Audit	No Item Master Matches KA9652JTW KA9662JTW
114270340			\$141,464.00	Division Translation Audit	No Item Master Matches KA9652JTW KA9662JTW
114270350			\$489,480.00	Division Translation Audit	No Item Master Matches KA9652JTW KA9662JTW

REQUESTOR: FTCS65

TRADE COMPLIANCE SYSTEM

INTERNAL ENTRY AUDITS

08/27/2002 10:37:24

AUDIT EXCEPTIONS BY CUSTOMS BROKER AND ENTRY

FOR: 05/29/2002 - 08/27/2002

SELECTION CRITERIA: ENTRY: - -

BROKER: 582 UPS

INVOICE	LINE	PRODUCT	ENTERED VALUE	AUDIT	FAILURE REASON
ENTRY: 582-1407208-4	ENTRY DATE: 2002-06-03				
			\$587.13	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA003H2			\$587.13	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
ENTRY: 582-1407220-9	ENTRY DATE: 2002-06-03				
			\$945.20	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA002H2			\$945.20	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
ENTRY: 582-1407221-7	ENTRY DATE: 2002-06-03				
			\$2,540.61	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA001H2			\$2,540.61	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
ENTRY: 582-1408116-8	ENTRY DATE: 2002-06-07				
			\$1,456.36	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA007H2			\$1,456.36	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
ENTRY: 582-1408335-4	ENTRY DATE: 2002-06-10				
			\$1,969.77	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA008H2			\$1,969.77	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
ENTRY: 582-1408587-0	ENTRY DATE: 2002-06-11				
			\$265.37	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA009H2			\$265.37	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
ENTRY: 582-1408839-5	ENTRY DATE: 2002-06-12				
			\$2,229.11	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
LAA010H2					
ENTRY: 582-1409047-4	ENTRY DATE: 2002-06-13				
			\$1,268.79	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA011H2			\$1,268.79	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
				Related Party Audit	Flag Incorrectly Set ENTRY=N MSTR=Y
ENTRY: 582-1409536-6	ENTRY DATE: 2002-06-17				
			\$10,560.37	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing
LAA013H2			\$10,560.37	Vendor Translation Audit	No Vendor Translation DIV CD=N MFR ID=JPHONMOT211TOK
ENTRY: 582-1409835-2	ENTRY DATE: 2002-06-18				
			\$458.85	Elec Entry Vs. Entry Pkt Audit	Entry Packet Missing

REPORT-NO: FTCS65-B

AMERICAN HONDA MOTORS COMPANY, INC.

PAGE: 3

REQUESTOR: FTCS65

TRADE COMPLIANCE SYSTEM

INTERNAL ENTRY AUDITS

08/27/2002 10:37:24

AUDIT EXCEPTIONS BY CUSTOMS BROKER AND ENTRY

FOR: 05/29/2002 - 08/27/2002

SELECTION CRITERIA: ENTRY: - -

TOTAL ENTRY EXCEPTION - ENTERED VALUE \$33,904,911.36
COUNT 63

Exhibit 14

Welcome!
Tony Uy

- Home
- US Customs
- Fedex Trade Networks
- US ITC (NTS)
- HIS Japan
- User Guide
- Contact Us
- Log Off

Security Maintenance

Interface Summary

Trade Compliance System - Version History - Microsoft Int...

Version History

• 12/4/2006 - Version 121.1	• 10/20/2003 - Version 110.6
• 10/2/2006 - Version 121.0	• 9/6/2003 - Version 110.5
• 7/10/2006 - Version 120.9	• 8/11/2003 - Version 110.4
• 2/13/2006 - Version 120.8	• 6/9/2003 - Version 110.3
• 10/10/2005 - Version 120.7	• 5/5/2003 - Version 110.2
• 4/18/2005 - Version 120.6	• 4/21/2003 - Version 110.1
• 1/24/2005 - Version 120.5	• 3/17/2003 - Version 110.0
• 11/22/2004 - Version 120.4	• 12/16/2002 - Version 100.5
• 10/25/2004 - Version 120.3	• 11/11/2002 - Version 100.4
• 7/19/2004 - Version 120.2	• 10/31/2002 - Entry Packet Info
• 5/10/2004 - Version 120.1	• 10/21/2002 - Cairs
• 3/15/2004 - Version 120.0	• 10/18/2002 - Toolset
• 2/2/2004 - Version 110.8	• 9/05/2002 - Entry History
• 12/15/2003 - Version 110.7	• 8/30/2002 - Classification

Version 121.1

✉ Missing Amendment Spreadsheets Now Produced - Due to a Web Browser upgrade, spreadsheets produced by the Amendment process were not being generated. The program has been modified to produce all required spreadsheets for Amendments. **Benefit: Efficiency and Compliance!** This modification corrects a problem which prevented TCS users to efficiently and accurately create post-Entry Amendments

✉ Edit Check for Blank Loan Description in Item Master - Items in the

View Entry Packet

Other Document Inquiry

Exhibit 15

Entry History Audit Errors - Aging Report

Group	Code	ID	Error Msg Text	Sep 02	Oct 02	Nov 02	Dec 02	Jan 03	Feb 03	Mar 03	Apr 03	May 03	Jun 03	Jul 03	Totals
HEADER	BAL	5936	Entry Entrd Val Not = Tot Inv	9	11	7	6	5	8	4	8	4	8	2	72
HEADER	BAL	5941	Inv Make Mkt Not = Tot Cl Dtl	356	420	402	471	387	465	564	525	451	522	265	4828
HEADER	BAL	5942	HTS Entrd Val Not = Tot Cl Dtl	3	1						1		1	2	8
HEADER	HMF	5990	Entry HMF Not Same As TCS Cal								3				3
HEADER	MPF	5991	Entry MPF Not Same As TCS Cal			1		9			2				12
HEADER	TYPE	5914	Unexpected Entry Type	1			1			1	1				4
INVOICE	DIV	5930	Items for Mult Divisions Found	4	5			1	3	7	3	6	5	1	35
INVOICE	DIV	5931	No Item Master Matches	109	110	81	95	109	82	86	118	90	120	35	1035
INVOICE	RLTD	5935	Flag Incorrectly Set	63	97	111	66	44	53	48	51	30	245	138	948
INVOICE	SMFR	5933	Invalid Selling Mfr ID		3	7	6	19	7	10	13	10	9	10	84
INVOICE	VNDR	5934	No Vendor Translation	161	151	120	144	172	152	168	204	143	177	73	1885
PRODUCT	DUTY	5964	Duty Rate Incorrect	55	36	35	40	136	137	315	196	134	162	35	1281
PRODUCT	DUTY	5965	Duty Calculation Incorrect	70	85	69	78	60	40	53	43	50	49	24	621
PRODUCT	DUTY	5983	Duty Comp Code Not Supported	246	146	76	120	46	118	62	108	94	128	10	1154
PRODUCT	DUTY	5985	Missing Duty Rate on Master											50	50
PRODUCT	EVAL	5949	Ext Val Not = Qty * Unit Cost	910	1070	638	484	753	597	649	788	300	488	334	7811
PRODUCT	EVAL	5992	Missing Quantity & Unit Cost	2008	2075	2122	3183	2483	2427	3227	3831	3587	4723	1996	31662
PRODUCT	EVAL	5993	Missing Quantity	133	217	251	165	155	238	218	53				1430
PRODUCT	EVAL	5994	Missing Unit Cost	142	53	26	43	28	50	43	63	35	75	10	568
PRODUCT	HTS1	5954	9801 Not On Master		1	1	2	3	3	1	1	2	5	1	28
PRODUCT	HTS1	5957	Primary HTS Code Incorrect	3442	2461	2806	4026	6103	4784	5098	4994	5401	6521	2105	47741
PRODUCT	HTS2	5958	Secondary HTS Code Incorrect	10		12	16	10	24	20	24	36	58		210
PRODUCT	ITEM	5945	Invalid Item ID	1108	1233	803	870	1237	1656	1025	2259	1446	1704	492	13833
PRODUCT	OGA	5953	Invalid OGA	3	3	5	5			5	2		2	1	28
PRODUCT	QTY1	5967	Primary Rptg Qty Fctr Missing	1655	1348	1191	1036	698	659	580	760	574	791	206	9498
PRODUCT	QTY2	5970	Secondary Rptg Qty Fctr Missng	4	1		2	4	1		1	4			17
PRODUCT	SPI	5960	SPI Missing on Entry	37	27	6	5	1		1					77
PRODUCT	SPI	5961	SPI Not on Master	30	20	17	13	893	1276	2035	2162	2201	1759	1033	11439
PRODUCT	UOM1	5966	Primary UOM Incorrect	110	186	200	144	137	211	185	136	108	92	92	1601
PRODUCT	UOM2	5969	Secondary UOM Incorrect	23	9	30	23	8	43	8	1	5	50	3	203
PYMT BAL	PYMT	5902	Division Unknown	112	111	90	98	135	135	125	117				923
PYMT BAL	PYMT	5903	Vendor Unknown	65	48	41	50	70	73	85	66				488
PYMT BAL	PYMT	5904	Multiple Payments Found	11	10	4	2	3	1	7	9				47
PYMT BAL	PYMT	5905	Payment Unavailable for Invoice	214	128	105	120	145	280	321	303				1616
PYMT BAL	PYMT	5906	Payment Matches but Unbalanced	86	58	32	18	48	40	37	45				364
Totals				11180	10124	9289	11332	13902	13563	14988	16891	14711	17694	6918	140592